

Applicant respectfully demands that the anonymous group of individuals, i.e. "Secret Committee," responsible for directing the named Examiner's actions in this case, consider and evaluate in detail this and all other evidence of record so far ignored and, to the extent that it finds fault with any of the scientific data, that those findings be communicated to provide Applicant a full and fair opportunity to respond.

The rejection of claims 1, 2, 4-6 and 10-59 under 35 U.S.C. § 101 as being inoperative and lacking utility is respectfully traversed. Applicant respectfully submits that the Secret Committee has not met its burden of raising a *prima facie* case of inoperability for the many reasons of record and, therefore, the rejection should be withdrawn for those reasons alone. Furthermore, Applicant has disclosed substantial experimental evidence in the present disclosure, prior submissions, and submissions herewith that fully rebut any *prima facie* case of inoperability the Committee might have raised. Applicant responds more fully to the Committee's comments, discusses the experimental evidence of record, and summarizes the improper prosecution procedures used by the Committee in the following paragraphs. For these additional reasons, the Section 101 rejection should be withdrawn.

The related rejection of claims 1, 2, 4-6 and 10-59 under 35 U.S.C. § 112, first paragraph, as lacking enablement, is also respectfully traversed. Applicant respectfully submits that the Committee has not met its burden of raising a *prima facie* case of lack of enablement for the many reasons of record and, therefore, the rejection should be withdrawn for those reasons alone. Furthermore, Applicant has disclosed substantial experimental evidence in the present disclosure, prior submissions, and submissions herewith that fully rebut any *prima facie* case of lack of enablement the Committee might have raised. Applicant responds more fully to the Committee's comments, discusses the experimental evidence of record, and summarizes the improper prosecution procedures used by the Committee in the following paragraphs. For these additional reasons, the Section 112, first paragraph, rejection should be withdrawn.

Applicant also files herewith a Rule 132 Declaration certifying his newly submitted experimental evidence, which further rebuts the Committee's unjustified utility and enablement rejections of the claimed invention. This evidence, which the PTO required Applicant to submit to scientific journals for publication, conclusively confirms

the formation of lower-energy hydrogen through practice of Applicant's novel hydrogen chemistry. To this day, the Committee has failed to properly consider the numerous Rule 132 Declarations previously filed by Applicant in violation of its own rules as outlined in MPEP § 716:

Evidence traversing rejections must be considered by the examiner whenever present. All entered affidavits, declarations, and other evidence traversing rejections are acknowledged and commented upon by the examiner in the next succeeding action. ... Where the evidence is insufficient to overcome the rejection, the examiner must specifically explain why the evidence is insufficient. General statements such "the declaration lacks technical validity" or "the evidence is not commensurate with the scope of the claims" without an explanation supporting such findings are insufficient. [Emphasis added.]

The Committee does not even mention, let alone consider, most of the certified experimental evidence identified in Applicant's Rule 132 Declarations that were submitted to overcome the rejections of record. Consequently, those rejections are fatally defective and should be withdrawn.

With this latest submission, Applicant now has over 100 articles and books of record in this case, as reflected in the "List of References" set forth below.<sup>1</sup> These articles detail studies that experimentally confirm a novel reaction of atomic hydrogen, which produces hydrogen in fractional quantum states that are at lower energies than the traditional "ground" ( $n = 1$ ) state, a chemically generated or assisted plasma (rt-plasma), and novel hydride compounds, including:

extreme ultraviolet (EUV) spectroscopy<sup>2</sup>,  
characteristic emission from catalysis and the hydride ion products<sup>3</sup>,  
lower-energy hydrogen emission<sup>4</sup>,  
plasma formation<sup>5</sup>,  
Balmer  $\alpha$  line broadening<sup>6</sup>,

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<sup>1</sup> While the articles and books numbered 1-70 were already made of record in previous submissions, many of those articles have now been published. Therefore, Applicant submits herewith copies of articles 50-101.

<sup>2</sup> Reference Nos. 11-16, 20, 24, 27-29, 31-36, 39, 42, 43, 46-47, 50-52, 54, 55, 57, 59, 63, 65-68, 70-76, 78, 79, 81, 83, 85, 86, 89, 91-93, 95-96, 98, 101, 104

<sup>3</sup> Reference Nos. 24, 27, 32, 39, 42, 46, 51, 52, 55, 57, 68, 72, 73, 81, 89, 91

<sup>4</sup> Reference Nos. 14, 28, 29, 33-36, 50, 63, 67, 70, 71, 73, 75, 76, 78, 79, 86, 87, 90, 92, 93, 98, 101, 104

<sup>5</sup> Reference Nos. 11-13, 15, 16, 20, 24, 27, 32, 39, 42, 46, 47, 51, 52, 54, 55, 57, 72, 81, 89, 91-93

<sup>6</sup> Reference Nos. 16, 20, 30, 33-37, 39, 42, 43, 49, 51, 52, 54, 55, 57, 63-65, 68, 69, 71-74, 81-85, 88, 89, 91-93, 95-97, 105

population inversion of hydrogen lines<sup>7</sup>,  
elevated electron temperature<sup>8</sup>,  
anomalous plasma afterglow duration<sup>9</sup>,  
power generation<sup>10</sup>,  
excessive light emission<sup>11</sup>,  
analysis of chemical compounds<sup>12</sup>, and  
direct plasma to electric power conversion<sup>13</sup>.

Exemplary studies include:

1.) the observation of intense extreme ultraviolet (EUV) emission at low temperatures (e.g.  $\approx 10^3 K$ ) from atomic hydrogen and only those atomized elements or gaseous ions which provide a net enthalpy of reaction of approximately  $m \cdot 27.2 eV$  via the ionization of  $t$  electrons to a continuum energy level where  $t$  and  $m$  are each an integer (e.g.  $K$  and  $Cs$  atoms and  $Rb^+$  and  $Sr^+$  ions ionize at integer multiples of the potential energy of atomic hydrogen and caused emission; whereas, the chemically similar atoms,  $Na$ ,  $Mg$ , and  $Ba$ , do not ionize at integer multiples of the potential energy of atomic hydrogen and caused no emission)<sup>14</sup>,

2.) the observation of novel EUV emission lines from microwave and glow discharges of helium with 2% hydrogen with energies of  $q \cdot 13.6 eV$  where  $q = 1, 2, 3, 4, 6, 7, 8, 9, 11, 12$  or these lines inelastically scattered by helium atoms in the excitation of  $He(1s^2)$  to  $He(1s^1 2p^1)$  that were identified as hydrogen transitions to electronic energy levels below the "ground" state corresponding to fractional quantum numbers<sup>15</sup>,

3.) the observation of novel EUV emission lines from microwave and glow discharges of helium with 2% hydrogen at  $44.2 nm$  and  $40.5 nm$  with energies of

<sup>7</sup> Reference Nos. 39, 46, 51, 54, 55, 57, 59, 65, 66, 68, 74, 83, 85, 89, 91

<sup>8</sup> Reference Nos. 34-37, 43, 49, 63, 67, 73

<sup>9</sup> Reference Nos. 12, 13, 47, 81

<sup>10</sup> Reference Nos. 30, 31, 33, 35, 36, 39, 43, 50, 63, 71-73, 76, 77, 81, 84, 89, 92, 93, 98

<sup>11</sup> Reference Nos. 11, 16, 20, 23, 31, 37, 43, 52, 72

<sup>12</sup> Reference Nos. 6-10, 19, 25, 38, 41, 44, 45, 60-62, 64, 69, 75, 81, 82, 87, 88, 90, 92-94, 98, 100, 101, 104

<sup>13</sup> Reference Nos. 18, 26, 40, 48, 56, 68

<sup>14</sup> Reference Nos. 11-13, 15, 16, 20, 24, 27, 32, 39, 42, 46, 47, 51, 52, 54, 55, 57, 72, 81, 89, 91-93

<sup>15</sup> Reference Nos. 28, 33-36, 50, 63, 67, 71, 73, 75, 76, 78, 86, 87, 90

$q \cdot 13.6 + \left( \frac{1}{n_f^2} - \frac{1}{n_i^2} \right) \times 13.6 \text{ eV}$  where  $q = 2$  and  $n_f = 2, 4$   $n_i = \infty$  that corresponded to

multipole coupling to give two-photon emission from a continuum excited state atom and an atom undergoing fractional Rydberg state transition<sup>16</sup>,

4.) the identification of transitions of atomic hydrogen to lower energy levels corresponding to lower-energy hydrogen atoms in the extreme ultraviolet emission spectrum from interstellar medium and the sun<sup>17</sup>,

5.) the observation that the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$  was observed with an Evenson microwave cell, only the peak corresponding to  $q = 2$  was observed with an RF cell, and none of the peaks were observed with a glow discharge cell<sup>18</sup>,

6.) the observation that in a comparison of Evenson, McCarroll, cylindrical, and Beenakker microwave cavity plasmas, the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$  was only observed for Evenson-cavity helium-hydrogen plasmas<sup>19</sup>,

7.) the EUV spectroscopic observation of lines for a hydrogen-*K* catalyst plasma by the Institut für Niedertemperatur-Plasmaphysik e.V. that could be assigned to transitions of atomic hydrogen to lower energy levels corresponding to fractional principal quantum numbers and the emission from the excitation of the corresponding hydride ions<sup>20</sup>,

8.) the recent analysis of mobility and spectroscopy data of individual electrons in liquid helium which shows direct experimental confirmation that electrons may have fractional principal quantum energy levels<sup>21</sup>,

9.) the observation of novel EUV emission lines from microwave discharges of argon or helium with 10% hydrogen that matched those predicted for the reaction

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<sup>16</sup> Reference Nos. 36, 71, 73

<sup>17</sup> Reference Nos. 1, 5, 17, 28, 29

<sup>18</sup> Reference Nos. 71, 73

<sup>19</sup> Reference No. 76

<sup>20</sup> Reference No. 14

<sup>21</sup> Reference Nos. 17, 53



$H(1/4) + H^+ \rightarrow H_2(1/4)^+$  having an energy spacing of  $2^2$  times the transition-state vibrational energy of  $H_2^+$  with the series ending on the bond energy of  $H_2(1/4)^+$ <sup>22</sup>,

10.) the result that the novel vibrational series for the reaction  $H(1/4) + H^+ \rightarrow H_2(1/4)^+$  was only observed for catalyst plasmas of helium, neon, and argon mixed with hydrogen, but not with noncatalyst xenon or krypton mixed plasmas<sup>23</sup>,

11.) the observation that based on the intensities of the peaks, the catalyst and the plasma source dependence of the reaction rate to form  $H_2(1/4)^+$  is  $Ar^+ > He^+ > Ne^+$  and microwave > glow discharge >> RF, respectively<sup>24</sup>,

12.) the observation that the microwave plasma source dependence of the reaction rate to form  $H_2(1/4)^+$  is Evenson microwave > McCarroll, cylindrical, Beenakker<sup>25</sup>,

13.) the observation of rotational lines in the 145-300 nm region from atmospheric pressure 15 keV electron-beam excited argon-hydrogen plasmas where the unprecedented energy spacing of  $4^2$  times that of hydrogen established the internuclear distance as 1/4 that of  $H_2$  and identified  $H_2(1/4)$ <sup>26</sup>,

14.) the observation of a series of vibration-rotational bands in the 60-67 nm region, a high-energy region for which vibration-rotational spectra are ordinarily unknown, emitted from low-pressure helium-hydrogen (99/1%) microwave plasmas that matched the predicted energy spacing of the vibrational energy of  $H_2$  about the bond energy of  $H_2(1/2)$  corresponding to the reaction  $2H(1/2) \rightarrow H_2(1/2)$ <sup>27</sup>,

15.) the observation of EUV plasma emission spectra in the region 60 nm to 100 nm that matched the predicted emission lines  $E_{D_{H_2}}$  due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$  to longer wavelengths for  $\nu^* = 2$  to  $\nu^* = 32$  and to

<sup>22</sup> Reference Nos. 29, 70, 73, 79, 92, 93, 98, 101, 104

<sup>23</sup> Reference Nos. 29, 70, 73, 79, 92, 93, 101

<sup>24</sup> Reference No. 70

<sup>25</sup> Reference No. 79

<sup>26</sup> Reference No. 98, 101, 104

<sup>27</sup> Reference No. 99

shorter wavelengths for  $\nu^* = 1$  to  $\nu^* = 16$  to within the spectrometer resolution of about  $\pm 0.05\%$ <sup>28</sup>,

16.) the observation that in addition to members of the series of novel emission lines with energies of  $q \cdot 13.6 \text{ eV}$  or  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$  an additional intense peak was observed from a scaled-up Evenson cell at  $41.6 \text{ nm}$  with an energy of  $29.81 \text{ eV}$  that matched  $q \cdot 13.6 \text{ eV}$  with  $q = 4$  less  $24.58741 \text{ eV}$  corresponding to inelastic scattering of these photons by helium atoms due to ionization of  $\text{He}$  to  $\text{He}^+$ <sup>29</sup>,

17.) the observation that in a comparison of Evenson, McCarroll, cylindrical, and Beenakker microwave cavity plasmas, the novel series of spectral lines due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$  was only observed for Evenson-cavity helium-hydrogen and neon-hydrogen plasmas<sup>30</sup>,

18.) the observation by gas chromatography that hydrogen was consumed by the helium-hydrogen plasmas which showed the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$ , the novel series of spectral lines due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$ , extraordinary H Balmer line broadening corresponding to  $180\text{-}210 \text{ eV}$ , and excess power of  $21.9 \text{ W}$  in  $3 \text{ cm}^3$ <sup>31</sup>,

19.) the observation of the dominant  $\text{He}^+$  emission and an intensification of the plasma emission observed when  $\text{He}^+$  was present with atomic hydrogen demonstrated the role of  $\text{He}^+$  as a catalyst<sup>32</sup>,

20.) the observation of continuum state emission of  $\text{Cs}^{2+}$  and  $\text{Ar}^{2+}$  at  $53.3 \text{ nm}$  and  $45.6 \text{ nm}$ , respectively, with the absence of the other corresponding Rydberg series

<sup>28</sup> Reference Nos. 50, 75, 76, 78, 86, 87, 90

<sup>29</sup> Reference No. 86

<sup>30</sup> Reference No. 76

<sup>31</sup> Reference No. 76

<sup>32</sup> Reference Nos. 36, 73

of lines from these species which confirmed the resonant nonradiative energy transfer of  $27.2\text{ eV}$  from atomic hydrogen to the either  $Cs$  or  $Ar^+$  catalyst<sup>33</sup>,

21.) the spectroscopic observation of the predicted hydride ion  $H^-(1/2)$  of hydrogen catalysis by either  $Cs$  or  $Ar^+$  catalyst at  $407\text{ nm}$  corresponding to its predicted binding energy of  $3.05\text{ eV}$ <sup>34</sup>,

22.) the observation of characteristic emission from  $K^{3+}$  which confirmed the resonant nonradiative energy transfer of  $3 \cdot 27.2\text{ eV}$  from atomic hydrogen to atomic  $K$ <sup>35</sup>,

23.) the spectroscopic observation of the predicted  $H^-(1/4)$  ion of hydrogen catalysis by  $K$  catalyst at  $110\text{ nm}$  corresponding to its predicted binding energy of  $11.2\text{ eV}$ <sup>36</sup>,

24.) the observation of characteristic emission from  $Rb^{2+}$  which confirmed the resonant nonradiative energy transfer of  $27.2\text{ eV}$  from atomic hydrogen to  $Rb^+$ <sup>37</sup>,

25.) the spectroscopic observation of the predicted  $H^-(1/2)$  ion of hydrogen catalysis by  $Rb^+$  catalyst at  $407\text{ nm}$  corresponding to its predicted binding energy of  $3.05\text{ eV}$ <sup>38</sup>,

26.) the observation of  $H^-(1/2)$ , the hydride ion catalyst product of  $K^+ / K^+$  or  $Rb^+$ , at its predicted binding energy of  $3.0468\text{ eV}$  by high resolution visible spectroscopy as a continuum threshold at  $4068.2\text{ \AA}$  and a series of structured peaks separated from the binding energy by an integer multiple of the fine structure of  $H(1/2)$  starting at  $4071\text{ \AA}$  that matched predicted free-free transitions<sup>39</sup>,

27.) the observation that the high resolution visible  $K^+ / K^+$  or  $Rb^+ - H_2$  plasma emission spectra in the region of  $3995$  to  $4060\text{ \AA}$  matched the predicted bound-free

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<sup>33</sup> Reference Nos. 24, 39, 51, 54, 55, 57, 91

<sup>34</sup> Reference No. 24

<sup>35</sup> Reference Nos. 27, 39, 42, 46, 51, 54, 55, 57, 81, 89, 91

<sup>36</sup> Reference Nos. 27, 42, 81

<sup>37</sup> Reference Nos. 32, 39, 42, 46, 51, 54, 55, 57, 81, 89, 91

<sup>38</sup> Reference No. 32

<sup>39</sup> Reference Nos. 39, 42, 46, 57, 81, 89, 91

of lines from these species which confirmed the resonant nonradiative energy transfer of  $27.2\text{ eV}$  from atomic hydrogen to the either  $Cs$  or  $Ar^+$  catalyst<sup>33</sup>,

21.) the spectroscopic observation of the predicted hydride ion  $H^-(1/2)$  of hydrogen catalysis by either  $Cs$  or  $Ar^+$  catalyst at  $407\text{ nm}$  corresponding to its predicted binding energy of  $3.05\text{ eV}$ <sup>34</sup>,

22.) the observation of characteristic emission from  $K^{3+}$  which confirmed the resonant nonradiative energy transfer of  $3 \cdot 27.2\text{ eV}$  from atomic hydrogen to atomic  $K$ <sup>35</sup>,

23.) the spectroscopic observation of the predicted  $H^-(1/4)$  ion of hydrogen catalysis by  $K$  catalyst at  $110\text{ nm}$  corresponding to its predicted binding energy of  $11.2\text{ eV}$ <sup>36</sup>,

24.) the observation of characteristic emission from  $Rb^{2+}$  which confirmed the resonant nonradiative energy transfer of  $27.2\text{ eV}$  from atomic hydrogen to  $Rb^+$ <sup>37</sup>,

25.) the spectroscopic observation of the predicted  $H^-(1/2)$  ion of hydrogen catalysis by  $Rb^+$  catalyst at  $407\text{ nm}$  corresponding to its predicted binding energy of  $3.05\text{ eV}$ <sup>38</sup>,

26.) the observation of  $H^-(1/2)$ , the hydride ion catalyst product of  $K^+ / K^+$  or  $Rb^+$ , at its predicted binding energy of  $3.0468\text{ eV}$  by high resolution visible spectroscopy as a continuum threshold at  $4068.2\text{ \AA}$  and a series of structured peaks separated from the binding energy by an integer multiple of the fine structure of  $H(1/2)$  starting at  $4071\text{ \AA}$  that matched predicted free-free transitions<sup>39</sup>,

27.) the observation that the high resolution visible  $K^+ / K^+$  or  $Rb^+ - H_2$  plasma emission spectra in the region of  $3995$  to  $4060\text{ \AA}$  matched the predicted bound-free

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<sup>33</sup> Reference Nos. 24, 39, 51, 54, 55, 57, 91

<sup>34</sup> Reference No. 24

<sup>35</sup> Reference Nos. 27, 39, 42, 46, 51, 54, 55, 57, 81, 89, 91

<sup>36</sup> Reference Nos. 27, 42, 81

<sup>37</sup> Reference Nos. 32, 39, 42, 46, 51, 54, 55, 57, 81, 89, 91

<sup>38</sup> Reference No. 32

<sup>39</sup> Reference Nos. 39, 42, 46, 57, 81, 89, 91

hyperfine structure lines  $E_{HF}$  of  $H^-(1/2)$  calculated from the electron  $g$  factor as  $E_{HF} = j^2 3.00213 \times 10^{-5} + 3.0563 \text{ eV}$  ( $j$  is an integer) for  $j = 1$  to  $j = 39$  (3.0563 eV to 3.1012 eV—the hydride binding energy peak plus one and five times the spin-pairing energy, respectively) to within a 1 part per  $10^{440}$ ,

28.)  $Rb^+$  or  $2K^+$  catalysts formed a plasma having strong VUV emission with a stationary inverted Lyman population with an overpopulation sufficient for lasing, and emission from  $H^-(1/2)$  was observed at 4071 Å corresponding to its predicted binding energy of 3.0468 eV with the fine structure and its predicted bound-free hyperfine structure lines  $E_{HF} = j^2 3.00213 \times 10^{-5} + 3.0563 \text{ eV}$  ( $j$  is an integer) that matched for  $j = 1$  to  $j = 37$  to within a 1 part per  $10^{441}$ ,

29.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing at wavelengths over a wide range from micron to blue wherein molecular oxygen served as the catalyst as supported by  $O^{2+}$  emission and H Balmer line broadening of 55 eV compared to 1 eV for hydrogen alone<sup>42</sup>,

30.) the observation of H Balmer line broadening of 55 eV compared to 1 eV for hydrogen alone at distances up to 5 cm from the coupler<sup>43</sup>,

31.) the observation that with a microwave input power of  $9 \text{ W} \cdot \text{cm}^{-3}$ , a collisional radiative model showed that the hydrogen excited state population distribution was consistent with an  $n = 1 \rightarrow 5, 6$  pumping power of an unprecedented  $200 \text{ W} \cdot \text{cm}^{-3}$  permissive of gas laser efficiencies orders of magnitude those of conventional visible gas lasers and direct generation of electrical power using photovoltaic conversion of the spontaneous or stimulated water vapor plasma emission<sup>44</sup>;

32.) the observation of stimulation of the stationary inverted H Balmer population from a low pressure water-vapor microwave discharge plasma by back illumination with an infrared source that showed depopulation of the  $n = 5$  state<sup>45</sup>,

<sup>40</sup> Reference Nos. 39, 42, 46, 57, 81, 89, 91

<sup>41</sup> Reference Nos. 39, 42, 46, 51, 54, 55, 57, 81, 89, 91

<sup>42</sup> Reference Nos. 59, 65, 66, 68, 74, 83, 85

<sup>43</sup> Reference No. 74

<sup>44</sup> Reference Nos. 68, 83, 85

<sup>45</sup> Reference Nos. 59, 65, 68, 85

33.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing was observed for Evenson microwave plasmas, but not for RF or discharge plasmas<sup>46</sup>,

34.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing that was dependent on the microwave plasma source with the highest inversion from Evenson microwave plasmas<sup>47</sup>,

35.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing that was dependent on the pressure of the Evenson microwave plasma<sup>48</sup>,

36.) the observation of stationary inverted H Balmer populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing at distances up to 5 cm from the coupler<sup>49</sup>,

37.) the observation that the requirement for the natural hydrogen-oxygen stoichiometry of the Evenson water plasma was stringent in that a deviation by over 2% excess of either gas caused a reversal of the H inversion in water vapor plasmas<sup>50</sup>,

38.) the observation of a typical slow H population for a water-vapor plasma maintained in a GEC-type cell that was independent of time, and a new phenomenon, an extraordinary fast population that increased from zero to a significant portion of the Balmer  $\alpha$  emission with time under no-flow conditions wherein the peak width and energy increased with time up to a 0.7 nm half-width corresponding to an average hydrogen atom energy of 200 eV<sup>51</sup>,

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<sup>46</sup> Reference Nos. 59, 65, 66, 68, 73, 83, 85

<sup>47</sup> Reference No. 83

<sup>48</sup> Reference Nos. 59, 68, 73, 83, 85

<sup>49</sup> Reference No. 74

<sup>50</sup> Reference Nos. 59, 68, 83, 85

<sup>51</sup> Reference No. 95

39.) the observation of a substantial fast H population (~20% at 40 eV) for a water-vapor plasmas maintained in a GEC-type cell that was independent of position including regions where the electric field was orders of magnitude too low to explain the extraordinarily high Doppler energies<sup>52</sup>,

40.) the observation of fast H population (40-50 eV) for a  $He/H_2$  (95/5%),  $Ar/H_2$  (95/5%), and  $H_2$  plasmas maintained in a GEC-type cell that was independent of position including regions where the electric field was orders of magnitude too low to explain the extraordinarily high Doppler energies<sup>53</sup>,

41.) the observation by the Institut für Niedertemperatur-Plasmaphysik e.V. of an anomalous plasma and plasma afterglow duration formed with hydrogen-potassium mixtures<sup>54</sup>,

42.) the observation of anomalous afterglow durations of plasmas formed by catalysts providing a net enthalpy of reaction within thermal energies of  $m \cdot 27.28 \text{ eV}$ <sup>55</sup>,

43.) the formation of a chemically generated hydrogen plasma with the observation of Lyman series in the EUV that represents an energy release about 10 times that of hydrogen combustion which is greater than that of any possible known chemical reaction<sup>56</sup>,

44.) the observation of line emission by the Institut für Niedertemperatur-Plasmaphysik e.V. with a 4° grazing incidence EUV spectrometer that was 100 times more energetic than the combustion of hydrogen<sup>57</sup>,

45.) the excessive increase in the Lyman emission upon the addition of helium or argon catalyst to a hydrogen plasma<sup>58</sup>,

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<sup>52</sup> Reference No. 96

<sup>53</sup> Reference Nos. 92, 93, 97, 105

<sup>54</sup> Reference Nos. 13, 47, 81

<sup>55</sup> Reference Nos. 12, 13, 47, 81

<sup>56</sup> Reference Nos. 11-13, 15, 16, 20, 24, 27, 32, 39, 42, 46, 47, 51, 52, 54, 55, 57, 72, 81, 89, 91

<sup>57</sup> Reference No. 14

<sup>58</sup> Reference Nos. 20, 31, 37, 43

46.) the observation of the characteristic emission from  $Sr^+$  and  $Sr^{3+}$  that confirmed the resonant nonradiative energy transfer of  $2 \cdot 27.2 \text{ eV}$  from atomic hydrogen to  $Sr^{+59}$ ,

47.) the observation of anomalous plasmas formed with  $Sr$  and  $Ar^+$  catalysts at 1% of the theoretical or prior known voltage requirement with a light output per unit power input up to 8600 times that of the control standard light source<sup>60</sup>,

48.) the observation that the optically measured output power of gas cells for power supplied to the glow discharge increased by over two orders of magnitude depending on the presence of less than 1% partial pressure of certain catalysts in hydrogen gas or argon-hydrogen gas mixtures, and an excess thermal balance of 42 W was measured for the 97% argon and 3% hydrogen mixture versus argon plasma alone<sup>61</sup>,

49.) the observation that glow discharge plasmas of the catalyst-hydrogen mixtures of strontium-hydrogen, helium-hydrogen, argon-hydrogen, strontium-helium-hydrogen, and strontium-argon-hydrogen showed significant Balmer  $\alpha$  line broadening corresponding to an average hydrogen atom temperature of 25 - 45 eV; whereas, plasmas of the noncatalyst-hydrogen mixtures of pure hydrogen, krypton-hydrogen, xenon-hydrogen, and magnesium-hydrogen showed no excessive broadening corresponding to an average hydrogen atom temperature of  $\approx 3 \text{ eV}$ <sup>62</sup>,

50.) the observation that microwave helium-hydrogen and argon-hydrogen plasmas having catalyst  $Ar^+$  or  $He^+$  showed extraordinary Balmer  $\alpha$  line broadening due to hydrogen catalysis corresponding to an average hydrogen atom temperature of 110 - 130 eV and 180 - 210 eV, respectively; whereas, plasmas of pure hydrogen, neon-hydrogen, krypton-hydrogen, and xenon-hydrogen showed no excessive broadening corresponding to an average hydrogen atom temperature of  $\approx 3 \text{ eV}$ <sup>63</sup>,

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<sup>59</sup> Reference Nos. 16, 52

<sup>60</sup> Reference Nos. 11, 16, 20, 23, 52, 72

<sup>61</sup> Reference No. 22

<sup>62</sup> Reference Nos. 16, 20, 30, 52, 72

<sup>63</sup> Reference Nos. 33-37, 43, 49, 60, 63, 64, 69, 71, 73, 74, 82, 84, 88



51.) the observation that microwave helium-hydrogen and argon-hydrogen plasmas showed average electron temperatures that were high,  $30,500 \pm 5\% K$  and  $13,700 \pm 5\% K$ , respectively; whereas, the corresponding temperatures of helium and argon alone were only  $7400 \pm 5\% K$  and  $5700 \pm 5\% K$ , respectively<sup>64</sup>,

52.) the observation of significant Balmer  $\alpha$  line broadening of 17, 9, 11, 14, and 24 eV from rt-plasmas of incandescently heated hydrogen with  $K^+ / K^+$ ,  $Rb^+$ , cesium, strontium, and strontium with  $Ar^+$  catalysts, respectively, wherein the results could not be explained by Stark or thermal broadening or electric field acceleration of charged species since the measured field of the incandescent heater was extremely weak, 1 V/cm, corresponding to a broadening of much less than 1 eV<sup>65</sup>,

53.) calorimetric measurement of excess power of 20 mW/cc on rt-plasmas formed by heating hydrogen with  $K^+ / K^+$  and  $Ar^+$  as catalysts<sup>66</sup>,

54.) the observation of rt-plasmas formed with strontium and argon at 1% of the theoretical or prior known voltage requirement with a light output per unit power input up to 8600 times that of the control standard light source as well as an excess power of 20 mW/cm from rt-plasmas formed by  $Ar^+$  as the catalyst in an incandescent-filament cell<sup>67</sup>,

55.) the Calvet calorimetry measurement of an energy balance of over  $-151,000 kJ/mole H_2$  with the addition of 3% hydrogen to a plasma of argon having the catalyst  $Ar^+$  compared to the enthalpy of combustion of hydrogen of  $-241.8 kJ/mole H_2$ ; whereas, under identical conditions no change in the Calvet voltage was observed when hydrogen was added to a plasma of noncatalyst xenon<sup>68</sup>,

56.) the observation that the power output exceeded the power supplied to hydrogen glow discharge plasmas by 35-184 W depending on the presence of catalysts from helium or argon and less than 1% partial pressure of strontium metal in noble gas-

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<sup>64</sup> Reference Nos. 34-37, 43, 49, 63, 67, 73

<sup>65</sup> Reference Nos. 39, 42, 46, 51, 52, 54, 55, 57, 72, 81, 89, 91

<sup>66</sup> Reference Nos. 39, 81, 89

<sup>67</sup> Reference No. 72

<sup>68</sup> Reference No. 31

hydrogen mixtures; whereas, the chemically similar noncatalyst krypton had no effect on the power balance<sup>69</sup>,

57.) the observation that with the addition of 3% flowing hydrogen to an argon microwave plasma with a constant input power of 40 *W*, the gas temperature increased from 400°C to over 750°C; whereas, the 400°C temperature of a xenon plasma run under identical conditions was essentially unchanged with the addition of hydrogen<sup>70</sup>,

58.) observations of power such as that where the addition of 10% hydrogen to a helium microwave plasma maintained with a constant microwave input power of 40 *W*, the thermal output power was measured to be at least 280 *W* corresponding to a reactor temperature rise from room temperature to 1200°C within 150 seconds, a power density of 28 *MW/m*<sup>3</sup>, and an energy balance of at least  $-4 \times 10^5$  *kJ/mole H*<sub>2</sub> compared to the enthalpy of combustion of hydrogen of  $-241.8$  *kJ/mole H*<sub>2</sub><sup>71</sup>,

59.) the observation of  $306 \pm 5$  *W* of excess power generated in 45 *cm*<sup>3</sup> by a compound-hollow-cathode-glow discharge of a neon-hydrogen (99.5/0.5%) mixture corresponding to a power density of 6.8 *MW/m*<sup>3</sup> and an energy balance of at least  $-1 \times 10^6$  *kJ/mole H*<sub>2</sub> compared to the enthalpy of combustion of hydrogen of  $-241.8$  *kJ/mole H*<sub>2</sub><sup>72</sup>,

60.) the observation that for an input of 37.7 *W*, the total plasma power of the neon-hydrogen plasma measured by water bath calorimetry was 60.7 *W* corresponding to 23.0 *W* of excess power in 3 *cm*<sup>3</sup><sup>73</sup>,

61.) the observation of intense *He*<sup>+</sup> emission and a total plasma power of a helium-hydrogen plasma measured by water bath calorimetry of 30.0 *W* for an input of 8.1 *W*, corresponding to 21.9 *W* of excess power in 3 *cm*<sup>3</sup> wherein the excess power density and energy balance were high, 7.3 *W/cm*<sup>3</sup> and  $-2.9 \times 10^4$  *kJ/mole H*<sub>2</sub>, respectively<sup>74</sup>,

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<sup>69</sup> Reference No. 30

<sup>70</sup> Reference No. 43

<sup>71</sup> Reference Nos. 34, 35

<sup>72</sup> Reference Nos. 50, 78

<sup>73</sup> Reference No. 76

<sup>74</sup> Reference Nos. 36, 63, 71, 73

62.) in the comparison of helium-hydrogen plasmas sources, the observation that i.) with an input power of  $24.8 \pm 1$  W, the total plasma power of the Evenson microwave helium-hydrogen plasma measured by water bath calorimetry was  $49.1 \pm 1$  W corresponding to  $24.3 \pm 1$  W of excess power in  $3 \text{ cm}^3$  corresponding to a high excess power density and energy balance of  $8.1 \text{ W/cm}^3$  and over  $-3 \times 10^4 \text{ kJ/mole H}_2$ , respectively, ii.) with an input of 500 W, a total power of 623 W was generated in a  $45 \text{ cm}^3$  compound-hollow-cathode-glow discharge, iii.) less than 10% excess power was observed from inductively coupled RF helium-hydrogen plasmas, and iv.) no measurable heat was observed from MKS/Astex microwave helium-hydrogen plasmas that corresponded to the absence of H Balmer line broadening<sup>75</sup>,

63.) the observation of energy balances of helium-hydrogen microwave plasmas of over 100 times the combustion of hydrogen and power densities greater than  $10 \text{ W/cm}^3$  measured by water bath calorimetry<sup>76</sup>,

64.) at the load matching condition of  $600 \Omega$ , the direct plasmadynamic conversion (PDC) of open circuit voltages of 11.5 V and ~200 mW of electrical power with a 0.125 in diameter by 3/4 in long plasmadynamic electrode and a 140 G applied field corresponding to an extracted power density of  $\sim 1.61 \text{ W/cm}^3$  and an efficiency of  $\sim 18.8\%$ <sup>77</sup>,

65.) at the load matching condition of  $250 \Omega$ , the direct plasmadynamic conversion (PDC) of open circuit voltages of 21.8 V and 1.87 W of electrical power with a 0.125 in diameter by 3/4 in long plasmadynamic electrode and a 140 G applied field corresponding to an extracted power density of  $3.6 \text{ W/cm}^3$  and an efficiency of  $42\%$ <sup>78</sup>,

66.) the projection that the generation of electricity using magnetohydrodynamic (MHD) conversion of the plasma particle energy of small to mid-size chemically assisted microwave or glow discharge plasma (ca-plasma) power sources in the range of a few hundred Watts to several 10's of kW for microdistributed commercial applications appears feasible at 50% efficiency or better with a simple compact design<sup>79</sup>,

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<sup>75</sup> Reference Nos. 84, 98, 104

<sup>76</sup> Reference Nos. 34-36, 50, 63, 71, 73, 76-78, 84, 92, 93, 101

<sup>77</sup> Reference No. 48

<sup>78</sup> Reference No. 56

<sup>79</sup> Reference No. 40

67.) the differential scanning calorimetry (DSC) measurement of minimum heats of formation of  $KHI$  by the catalytic reaction of  $K$  with atomic hydrogen and  $KI$  that were over  $-2000 \text{ kJ/mole } H_2$  compared to the enthalpy of combustion of hydrogen of  $-241.8 \text{ kJ/mole } H_2$ <sup>80</sup>,

68.) the isolation of novel hydrogen compounds as products of the reaction of atomic hydrogen with atoms and ions which formed an anomalous plasma as reported in the EUV studies<sup>81</sup>,

69.) the synthesis and identification of a novel diamond-like carbon film terminated with  $CH(1/p)$  ( $H^+ DLC$ ) comprising high binding energy hydride ions was synthesized for the first time from solid carbon by a microwave plasma reaction of a mixture of 10-30% hydrogen and 90-70% helium wherein  $He^+$  served as a catalyst with atomic hydrogen to form the highly stable hydride ions and an energetic plasma<sup>82</sup>,

70.) the synthesis of polycrystalline diamond films on silicon substrates without diamond seeding by a very low power microwave plasma reaction of a mixture of helium-hydrogen-methane (48.2/48.2/3.6%) wherein  $He^+$  served as a catalyst with atomic hydrogen to form an energetic plasma with an average hydrogen atom temperature of 180 - 210 eV versus  $\approx 3 \text{ eV}$  for pure hydrogen and bombardment of the carbon surface by highly energetic hydrogen formed by the catalysis reaction may play a role in the formation of diamond<sup>83</sup>,

71.) the synthesis of polycrystalline diamond films on silicon substrates without diamond seeding by a very low power microwave plasma reaction of a mixture of argon-hydrogen-methane (17.5/80/2.5%) wherein  $Ar^+$  served as a catalyst with atomic hydrogen to form an energetic plasma with an average hydrogen atom temperature of 110 - 130 eV versus  $\approx 3 \text{ eV}$  for pure hydrogen and bombardment of the carbon surface by highly energetic hydrogen formed by the catalysis reaction may play a role in the formation of diamond<sup>84</sup>,

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<sup>80</sup> Reference No. 25

<sup>81</sup> Reference Nos. 6-10, 19, 25, 38, 41, 44, 45, 60-62, 75, 81, 87, 90, 92, 93, 100, 101

<sup>82</sup> Reference No. 60

<sup>83</sup> Reference Nos. 64, 69, 88

<sup>84</sup> Reference Nos. 82, 88

72.) the identification of a novel highly stable surface coating  $SiH(1/p)$  by time of flight secondary ion mass spectroscopy that showed  $SiH^+$  in the positive spectrum and  $H^-$  dominant in the negative spectrum and by X-ray photoelectron spectroscopy which showed that the  $H$  content of the  $SiH$  coatings was hydride ions,  $H^-(1/4)$ ,  $H^-(1/9)$ , and  $H^-(1/11)$  corresponding to peaks at 11, 43, and 55 eV, respectively, and showed that the surface was remarkably stable to air<sup>85</sup>,

73.) the isolation of novel inorganic hydride compounds such as  $KHKHCO_3$  and  $KH$  following each of the electrolysis and plasma electrolysis of a  $K_2CO_3$  electrolyte which comprised high binding energy hydride ions that were stable in water with their identification by methods such as (i) ToF-SIMS on  $KHKHCO_3$  which showed inorganic hydride clusters  $K[KHKHCO_3]^+$  and a negative ToF-SIMS dominated by hydride ion, (ii) X-ray photoelectron spectroscopy which showed novel peaks corresponding to high binding energy hydride ions, and (iii)  $^1H$  nuclear magnetic resonance spectroscopy which showed upfield shifted peaks corresponding to more diamagnetic, high-binding-energy hydride ions<sup>86</sup>,

74.) the identification of  $LiHCl$  comprising a high binding energy hydride ion by time of flight secondary ion mass spectroscopy which showed a dominant  $H^-$  in the negative ion spectrum, X-ray photoelectron spectroscopy which showed  $H^-(1/4)$  as a new peak at its predicted binding energy of 11 eV,  $^1H$  nuclear magnetic resonance spectroscopy which showed an extraordinary upfield shifted peak of -15.4 ppm corresponding to the novel hydride ion, and powder X-ray diffraction which showed novel peaks<sup>87</sup>,

75.) the identification of novel hydride compounds by a number of analytical methods such as (i) time of flight secondary ion mass spectroscopy which showed a dominant hydride ion in the negative ion spectrum, (ii) X-ray photoelectron spectroscopy which showed novel hydride peaks and significant shifts of the core levels of the primary elements bound to the novel hydride ions, (iii)  $^1H$  nuclear magnetic resonance spectroscopy (NMR) which showed extraordinary upfield chemical shifts compared to

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<sup>85</sup> Reference Nos. 45, 61, 100

<sup>86</sup> Reference Nos. 6-7, 9, 38, 41

<sup>87</sup> Reference Nos. 44, 62

the NMR of the corresponding ordinary hydrides, and (iv) thermal decomposition with analysis by gas chromatography, and mass spectroscopy which identified the compounds as hydrides<sup>88</sup>,

76.) the NMR identification of novel hydride compounds  $MH^*X$  wherein  $M$  is the alkali or alkaline earth metal,  $X$ , is a halide, and  $H^*$  comprises a novel high binding energy hydride ion identified by a large distinct upfield resonance<sup>89</sup>,

77.) the replication of the NMR results of the identification of novel hydride compounds by large distinct upfield resonances at Spectral Data Services, University of Massachusetts Amherst, University of Delaware, Grace Davison, and National Research Council of Canada<sup>90</sup>,

78.) the NMR identification of novel hydride compounds  $MH^*$  and  $MH_2^*$  wherein  $M$  is the alkali or alkaline earth metal and  $H^*$  comprises a novel high binding energy hydride ion identified by a large distinct upfield resonance that proves the hydride ion is different from the hydride ion of the corresponding known compound of the same composition<sup>91</sup>,

79.) the observation that the  $^1H$  MAS NMR spectrum of novel compound  $KH^*Cl$  relative to external tetramethylsilane (TMS) showed a large distinct upfield resonance at -4.4 corresponding to an absolute resonance shift of -35.9 ppm that matched the theoretical prediction of  $p = 4$ , and the novel peak of  $KH^*I$  at -1.5 ppm relative to TMS corresponding to an absolute resonance shift of -33.0 ppm matched the theoretical prediction of  $p = 2$ <sup>92</sup>,

80.) the observation that the predicted catalyst reactions, position of the upfield-shifted NMR peaks, and spectroscopic data for  $H^-(1/2)$  and  $H^-(1/4)$  were found to be in agreement<sup>93</sup>,

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<sup>88</sup> Reference Nos. 6-10, 19, 25, 38, 41, 44, 45, 60-62, 75, 81, 87, 90, 92, 93, 100

<sup>89</sup> Reference Nos. 10, 19, 41, 44, 62, 81

<sup>90</sup> Reference Nos. 19, 81

<sup>91</sup> Reference Nos. 19, 81

<sup>92</sup> Reference No. 81

<sup>93</sup> Reference No. 81

81.) the isolation of fraction-principal-quantum-level molecular hydrogen  $H_2(1/p)$  gas by liquefaction using an ultrahigh-vacuum, liquid nitrogen cryotrap, and the observations of novel peaks by cryogenic gas chromatography, a higher ionization energy than  $H_2$  by mass spectroscopy, a substantial change in the EUV emission spectrum with deuterium substitution in a region where no hydrogen emission has ever been observed, and upfield shifted NMR peaks at 0.21, 2.18 and 3.47 ppm compared to that of  $H_2$  at 4.63 ppm<sup>94</sup>,

82.) the observation of  $^1H$  NMR singlet peaks upfield of  $H_2$  with a predicted integer spacing of 0.64 ppm at 3.47, 3.02, 2.18, 1.25, 0.85, and 0.22 ppm identified as the consecutive series  $H_2(1/2)$ ,  $H_2(1/3)$ ,  $H_2(1/4)$ ,  $H_2(1/5)$ ,  $H_2(1/6)$ , and  $H_2(1/7)$ , respectively, and  $H_2(1/10)$  at -1.8 ppm wherein  $H_2(1/p)$  gas was isolated by liquefaction at liquid nitrogen temperature, by decomposition of compounds found to contain the corresponding hydride ions  $H^-(1/p)$ , and by permeation through a hollow nickel cathode<sup>95</sup>.

83.) the observation of excess enthalpy from a  $K_2CO_3$  electrolytic cell of a factor of two times that of the resistive power dissipation and  $^1H$  NMR singlet peaks upfield of  $H_2$  with a predicted integer spacing of 0.64 ppm at 3.49, 2.17, 1.25, 0.86, and 0.21 ppm which matched the consecutive series  $H_2(1/2)$ ,  $H_2(1/4)$ ,  $H_2(1/5)$ ,  $H_2(1/6)$ , and  $H_2(1/7)$ , respectively, and a higher ionizing molecular hydrogen recorded on the electrolysis gases collected in a hollow nickel cathode<sup>96</sup>.

Applicant again respectfully demands that the Secret Committee consider and evaluate in detail all of this record evidence, which, to date, it has largely ignored. The scientific data disclosed in this extensive body of evidence was collected and peer-reviewed with great care by a group of highly qualified scientists capable of understanding every detail of Applicant's technology. The very least the Committee can do is to also carefully evaluate that data in detail, article by article, with an open mind, so that Applicant is given a full and fair opportunity to present his case. If and when the Committee finally does so, Applicant believes it will find that the evidence

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<sup>94</sup> Reference Nos. 75, 87, 90, 92, 93, 94, 101

<sup>95</sup> Reference Nos. 98, 101, 103, 104

<sup>96</sup> Reference Nos. 103, 104

overwhelmingly proves the existence of lower-energy hydrogen in accordance with his claimed invention.

If, on the other hand, the Committee should find true fault with any of that data on legitimate scientific grounds—not the kind of nitpicking Applicant has seen on theoretical grounds—it should communicate as much to afford Applicant the opportunity to respond. Such scientific give-and-take is the only way to advance the prosecution of this case.

Unfortunately, with continued prosecution of this and BlackLight's other applications, a far different pattern has emerged. The Committee continues to set arbitrary and capricious hurdles designed to avoid considering Applicant's conclusive experimental evidence and thereby block his patents from issuing. Each time Applicant clears one of these hurdles, the Committee merely raises the bar by setting new standards.

For instance, the Committee initially alleged that Applicant's disclosed hydrogen chemistry, which forms lower-energy hydrogen, related to the controversial concepts of "perpetual motion" and "cold fusion." When Applicant exposed those allegations as utter nonsense, the Committee quickly abandoned its indefensible position, arguing instead that BlackLight's lower-energy hydrogen technology violated unidentified laws of physics. Then, to cover up its failure to identify even a single physical law that was supposedly being violated, the Committee improperly placed the burden on Applicant to do so: "in order to establish enablement, applicant bears the burden of providing the accepted scientific laws wrong or incomplete." When Applicant showed just the opposite is true—that Applicant's novel hydrogen chemistry complies with all physical laws, even at atomic and sub-atomic levels—the Committee once again backpedaled and changed its position. The Committee then advanced vague assertions that Applicant's lower-energy hydrogen violated "ideas" of modern science and, later, that his technology contradicted "beliefs" in the scientific community.

The only consistency found throughout this myriad of contrived standards is the Committee's use of each to excuse it from fairly considering and evaluating Applicant's scientific evidence that lower-energy hydrogen does indeed exist. Instead, the Committee prefers engaging in a theoretical debate to the exclusion of that evidence,



pitting its favored quantum theory, with all of its far-fetched and disproved predictions, against Applicant's theory of classical quantum mechanics that correctly predicts the formation of lower-energy hydrogen.

Applicant has willingly engaged the Committee in this debate, and will continue to do so if necessary, even though the patent laws do not require that an inventor understand the precise theoretical basis for why his invention works. All the law requires is that he disclose his invention in sufficient detail to enable one of ordinary skill in the art how to practice it. Applicant has done precisely that and the Committee has failed in its burden to show otherwise.

Of course, the debate over these competing theories can go on indefinitely without resolution, which may be the Committee's strategy. Engaging in that intellectual exercise, however, will not—indeed cannot—definitively settle the question of whether practicing Applicant's disclosed hydrogen chemistry results in the formation of lower-energy hydrogen. Like any good theoretical debate, this one can only be tested and ultimately settled by fairly analyzing the unprecedented amount of experimental evidence Applicant has submitted conclusively confirming the lower energy states of hydrogen.

Applicant has expended tens of millions of dollars amassing this experimental evidence. The least the Committee can do is properly consider it. The Committee's view, however, appears to be that, because the existence of lower-energy hydrogen is theoretically impossible—at least according to its misguided view of quantum mechanics—it need not seriously analyze any contrary evidence. Applicant is hard pressed to imagine an approach to patent examination any more arbitrary and capricious than that.

In the few isolated instances in which the Secret Committee does address Applicant's evidence, it comes up with far-fetched reasons for dismissing it without a fair hearing, again demonstrating its arbitrary and capricious approach to examination of this case. One prominent example occurred during the February 21, 2001 Interview of this and other BlackLight applications, which was led by Examiner Vasudevan Jagannathan—one of the few Committee members Applicant has been able to successfully identify. At that interview, Applicant had a brief opportunity to present

some of his scientific evidence, including spectroscopic data that is extraordinarily reliable in analyzing chemical compositions. Such data amounts to a “chemical fingerprint” that cannot be seriously disputed. Despite the conclusiveness of that evidence, Examiner Jagannathan dismissed it out of hand as nothing more than “a bunch of squiggly lines.”

To put the absurdity of that comment in context, the PTO rationalized its withdrawal of BlackLight’s allowed patent applications, in part, by citing a January 12, 2000 article written by Dr. Robert Park, spokesman for one of Applicant’s main competitors, the American Physical Society (APS). [March 22, 2000 Decision at page 7 (Attachment G)] In that article, Dr. Park made the following startling statement:

The energy states of atoms are studied through their atomic spectra—light emitted at very specific wavelengths when electrons make a jump from one energy level to another. The exact prediction of the hydrogen spectrum was one of the first great triumphs of quantum theory; it is the platform on which our entire understanding of atomic physics is built. The theory accounts perfectly for every spectral line.

There is no line corresponding to a “hydrino” state. Indeed there is no credible evidence at all to support Mills’ claim. [See Attachment J]

The incredible irony here—one that cannot be easily overlooked—highlights once again the extreme arbitrary and capricious approach the Committee has taken in examining this and other BlackLight applications. There is no question that the vitriol espoused by Dr. Park in his cited *Post* article was, at least, partially responsible for the PTO’s suspect withdrawal of five allowed BlackLight applications from issue. And yet, despite the fact that the very article the PTO relies upon to deny Applicant his patents recognizes that spectroscopic data is extraordinarily reliable—indeed, the “platform on which our entire understanding of atomic physics is built”—the Committee nonetheless continues to cavalierly ignore or dismiss that same data when submitted by Applicant.

Out of exasperation, Applicant queried Examiner Jagannathan during the February 21 Interview as to what type and quality of evidence would convince him that lower-energy hydrogen exists. In response, the Examiner required that Applicant publish his experimental evidence in peer-reviewed scientific journals for that evidence to be considered reliable. As detailed above, Applicant has more than met this newly

created "publication" standard for considering experimental evidence by submitting over 100 scientific papers for publication. So far, over 50 of these papers have completed and passed the peer-review process conducted by highly qualified Ph.D. referees.

The esteemed list of journals to which Applicant's experimental evidence has been extensively peer-reviewed and published includes:

- Applied Physics Letters
- Chemistry of Materials
- Electrochimica Acta
- Fusion Technology
- IEEE Transactions on Plasma Science
- International Journal of Hydrogen Energy
- Journal of Applied Physics
- Journal of Molecular Structure
- Journal of Plasma Physics
- Journal of Quantitative Spectroscopy and Radiative Transfer,
- Journal of Physics D: Applied Physics
- Journal of New Materials for Electrochemical Systems
- New Journal of Physics
- Plasma Sources Science and Technology
- Solar Energy Materials & Solar Cells
- Thermochimica Acta
- Vibrational Spectroscopy

The esteemed list of journals to which Applicant's experimental evidence has been submitted for publication includes:

- Acta Physica Polonica A
- AIAA Journal
- Annales De La Foundation Louis DeBroglie
- Brazilian Journal of Physics
- Canadian Journal of Physics
- Central European Journal of Physics
- Contributions to Plasma Physics
- Current Applied Physics

Doklady Chemistry  
European Journal of Physics D  
European Physical Journal: Applied Physics  
Europhysics Letters  
Foundations of Physics  
Frizika A  
International Journal of Theoretical Physics  
Journal of Applied Physics  
Journal of Applied Spectroscopy  
Journal of Electroanalytical Chemistry  
Journal of Material Science  
Journal of the Physical Society of Japan  
Journal of Physical Chemistry A  
Journal of Physical Chemistry B  
Journal of Plasma Physics  
Journal of Quantitative Spectroscopy and Radiative Transfer  
Journal of Vacuum Science & Technology A  
Materials Characterization  
Materials Chemistry and Physics  
Materials Science  
New Journal of Chemistry  
Physica B  
Physics Essays  
Physics of Plasmas  
Spectrochimica Acta Part B: Atomic Spectroscopy  
Technical Physics  
Thin Solid Films  
Vacuum

Once again, however, the Secret Committee has raised the bar to patentability by arbitrarily and capriciously ignoring this vast body of evidence, apparently believing that its anonymous Committee members are better qualified than the numerous skilled PhD's who peer-reviewed and approved Applicant's articles confirming the existence of lower-energy hydrogen.

The PTO's mishandling of the experimental evidence of record in this case is but one of several improper actions that have adversely effected Applicant's patent rights.

Others include:

- (1) illegally withdrawing or threatening to withdraw other copending BlackLight patent applications from issue, after initially allowing all claims, under highly suspicious circumstances that suggest possible interference by BlackLight's competitors;
- (2) improperly examining this application by Secret Committee, effectively denying Applicant the right to confront the persons involved in that examination and access their qualifications, and to ascertain whether those persons include BlackLight's competitors, or other improper outside influences, in breach of PTO confidentiality requirements; and
- (3) refusing reasonable requests by Applicant and five U.S. Senators to divulge information relating to the events that triggered the PTO's withdrawal action, and the identity of all PTO employees and non-PTO personnel involved in examining BlackLight's applications.

These improper actions bear directly upon the prosecution of BlackLight's pending applications, yet Applicant's good faith efforts to discuss and resolve these and other outstanding issues have been either ignored or rejected out of hand. One of Applicant's overtures was communicated directly to then PTO Director James E. Rogan in a letter dated December 21, 2001, from BlackLight board member Dr. Shelby T. Brewer. Dr. Brewer received his Ph.D. in Nuclear Engineering from M.I.T. and served as Assistant Energy Secretary in the Reagan administration. [See Attachment A]

As stated in his letter, Dr. Brewer's reasons for appealing to Director Rogan were motivated not only by his fiduciary duty to protect BlackLight's best interests, but also by a sincere desire to avoid unnecessary embarrassment to the PTO over these lingering issues if left unresolved. Dr. Brewer appealed for a meeting with Director Rogan in an attempt to bring some closure to this matter in a way that might mutually benefit both sides.

Despite the urgency of his plea, Dr. Brewer waited over four months before finally receiving a response to his request for a meeting. In a curt letter dated April 24, 2002, from the Director's Chief-of-Staff, Jason C. Roe, the PTO advised: "We appreciate your interest in this matter, but, unfortunately, must decline your request for a meeting due to

the fact that the USPTO is not in a position to discuss the issue at the present time.”  
[See Attachment A]

This negative response, while disappointing, was hardly surprising. In refusing to meet with Applicant, the PTO continues to treat prosecution of this and BlackLight's other copending cases as an adversarial proceeding. While the PTO may believe it is justified in shrouding its untoward actions under a cloak of secrecy and remaining answerable to no one, that approach does little to preserve public confidence in the patent process. Only by openly engaging Applicant in mutually beneficial discussions of all the issues in this case can the PTO ever hope to achieve that worthy goal. Applicant therefore implored Director Rogan to reconsider his decision and adopt a more flexible and cooperative approach by agreeing to meet with Applicant to discuss the handling of this and other pending BlackLight applications before taking any further action.

Perhaps the PTO sees no need to modify its approach, buoyed by the Federal Circuit's June 28, 2002 Decision upholding its withdrawal action that cancelled issuance of BlackLight's allowed patent applications. See *BlackLight Power, Inc. v. Director James E. Rogan*, 63 USPQ2d1534 (Fed. Cir. June 28, 2002) [See Attachment B]. The Federal Circuit ruled, among other things, that an “emergency situation” trumped the controlling regulation requiring the PTO to determine the unpatentability of one or more claims before it withdrew the '294 application from issue so that the PTO's mere “concern” over patentability provided adequate basis for the withdrawal. That Decision, aside from the fact that it is erroneous,<sup>97</sup> does not even begin to resolve other issues that touch on the merits of this case.

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<sup>97</sup> Applicant believes that the Federal Court's opinion is erroneous due, in part, to its misreading of a concurring opinion of one Justice in a 38-year-old Supreme Court case to support its holding that this supposed “emergency situation”—a finding that was not supported by the record or even argued by the PTO—justified the PTO's withdrawing BlackLight's copending '294 application from issue on February 17, 2000, after payment of the issue fee. See *BlackLight Power* at page 7 citing *Baltimore & Ohio Railroad Co. v. United States*, 386 U.S. 372, 421 (1964) (Brennan, J., concurring) (recognizing the importance of leaving the Interstate Commerce Commission (ICC) great flexibility to deal with emergency situations to avoid serious damage to the national transportation system, but finding no pressing need that justified the ICC's action). The Federal Circuit stretched that case way beyond the limits of Supreme Court precedent that requires government agencies to strictly follow statutory and regulatory guidelines.

Incredibly, at oral argument, the PTO did not even suggest that an emergency situation had forced it to withdraw this application from issue on February 17, 2000. To the contrary, PTO Solicitor John M. Whealan argued that no withdrawal—emergency or otherwise—occurred on that date and admitted that,

One such issue is how this alleged “emergency situation” arose in the first place, *i.e.*, how the PTO became aware of BlackLight’s issued U.S. Patent No. 6,024,935 (the ‘935 patent) that supposedly raised “concerns” about other pending applications. That issue apparently was not important to Associate Solicitor Kevin Baer who defended the PTO’s conduct by arguing to the District Court: “I would even say, Your Honor, you could imagine in our head any scenario of how we learned about it. A blimp flying over us. It doesn’t matter, because what matters, Your Honor, is the decision [to withdraw] itself.” [May 22, 2000 Transcript at 22 (Attachment K, Tab E)]

Judge Sullivan, however, was apparently unimpressed by those comments, noting in footnote 10 of his opinion that he was “troubled by several steps in the PTO’s process” and advising the PTO to “examine its patent issuance process so that their normal operations are not compromised by such seemingly suspicious procedures.” [See 109 F.Supp. 2d at 53 (See Attachment L)]

While the PTO may be unconcerned how it learned of the ‘935 patent, Applicant considers that information critically important. If, for instance, competitors were somehow involved in events leading to the withdrawal of BlackLight’s allowed applications and, perhaps, in the subsequent prosecution of those and other applications, that information would relate directly to the credibility of the rejections entered in those cases, including this one. Applicant therefore renews his request for a full accounting of how, out of the thousands of patents the PTO issues every week, his ‘935 patent came to its attention, thus leading to the withdrawal of BlackLight’s allowed applications.<sup>98</sup>

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if the Court found otherwise, his case would be seriously compromised. This was because, at that time, the PTO could not locate the patent file and admittedly could not have made a determination of unpatentability of one or more claims as required by the controlling regulation. See 37 C.F.R. § 1.131(b)(3); MPEP § 1308 (7<sup>th</sup> Ed., Rev. 1, Feb. 2000). To avoid an adverse ruling, Solicitor Whealan sought refuge outside the administrative record, suggesting for the first time that the PTO had used the wrong form in mistakenly notifying Applicant on February 17 that his application had been withdrawn. Then, again without evidentiary support, the Solicitor tried to convince a skeptical Court that Director Kepplinger, in consultation with the Examiner, had made an unpatentability determination sometime later, after Applicant had voluntarily supplied the PTO with a copy of the application—hardly an emergency situation if it were true.

<sup>98</sup> See Applicant’s February 28, 2000 letter to Director Kepplinger documenting telephone and personal conversations between her and Applicant’s counsel regarding improper outside influence that precipitated

Applicant believes that concerns over outside influences on the prosecution of his applications are fully justified. Following the PTO's withdrawal action, counsel immediately investigated the facts and circumstances surrounding that action by questioning various PTO personnel. In discussions with Director Esther Kepplinger, she admitted to counsel that the withdrawal was a reaction to perceived heat—a "firestorm" as she put it—the PTO had received from an undisclosed outside source. Director Kepplinger further indicated that the withdrawal occurred only after BlackLight's '935 patent had been brought to the attention of then-Director Q. Todd Dickinson by Gregory Aharonian, another PTO outsider well known for publicly attacking issued U.S. patents.

Director Kepplinger's revelations are truly disturbing in that they describe what is, in essence, a newly created non-statutory reexamination procedure for opposing the issuance of patents never envisioned by Congress. *Compare* 35 U.S.C. §§ 301-307 (patent reexamination statutes).

This was but one of several issues Dr. Brewer raised in his letter to Director Rogan as a possible topic for discussion that the PTO says it is "not in a position to discuss . . . at the present time." The PTO's response, however, merely begs the question: if not now, when?

Following the PTO's drastic withdrawal action, Applicant discovered other reliable information suggesting outside interference with BlackLight's patent applications and breaches of the PTO's duty to maintain the confidentiality of those applications. Applicant learned that Dr. Peter Zimmerman, former Chief Scientist for the State Department, had published an Abstract of an upcoming speech to the American Physical Society (APS)—a BlackLight competitor—boasting that his Department and the Patent Office "have fought back with success" against BlackLight. [See Attachment K, Tab C] In conversations with BlackLight's counsel, Dr. Zimmerman admitted that he had received information concerning BlackLight's applications through e-mails from Dr. Robert Park, spokesman for the APS, who told him of a contact in the PTO referred to by Dr. Park as "Deep Throat" with access to confidential patent information. [See Attachment K, Tab C]

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the withdrawal of BlackLight's five allowed applications. The PTO cited this letter in its March 22, 2000 Decision affirming its withdrawal action. [See Attachment G]



An *APS News Online* bulletin, dated September 2002, suggests that Dr. Park is maintaining his questionable PTO contacts, apparently with the agency's blessing:

### **APS E-Board Passes Resolution on Perpetual Motion Machines**

The APS Executive Board approved a resolution at its June 2002 meeting in Annapolis, MD, affirming the fraudulent nature of claims of perpetual motion machines.

The resolution was deemed necessary because of a recent increase in patent applications for such devices. Robert Park, APS Director of Public Information and author of the weekly electronic newsletter, "What's New," reported that the US Patent Office has received several patent applications for perpetual motion machines during the first six months of this year alone. [Park's 2000 book, *Voodoo Science*, devoted considerable space to the phenomenon of such devices throughout history.] The text of the APS resolution follows.

The Executive Board of the American Physical Society is concerned that in this period of unprecedented scientific advance, misguided or fraudulent claims of perpetual motion machines and other sources of unlimited free energy are proliferating. Such devices directly violate the most fundamental laws of nature, laws that have guided the scientific progress that is transforming our world.

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[Attachment Q (emphasis added)] Dr. Park's knowledge of the number of pending patent applications filed in the PTO directed to a particular subject matter—information that is supposedly kept confidential—raises additional questions as to his activities in interfering with the prosecution of U.S. patent applications.<sup>99</sup>

Of course, this should come as no surprise since Dr. Park has basically admitted his direct involvement in BlackLight's patent affairs, as evidenced by the September 6, 2002 issue of *What's New* he authored and published on the APS website:

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<sup>99</sup> Not coincidentally, the Committee initially attacked the operability of Applicant's invention by mischaracterizing it as a "perpetual motion machine" and, therefore, *per se* unpatentable. The Committee quickly withdrew that line of attack as Applicant showed it was completely lacking in any merit.

The status of BlackLight Power's intellectual property is fuzzier than ever. BLP was awarded Patent 6,024,935 for "Lower-Energy Hydrogen Methods and Structures," a process for getting hydrogen atoms into a "state below the ground state". . . . You might expect these shrunken hydrogen atoms, called "hydrinos," to have a pretty special chemistry. Do they ever! Indeed, a second patent application titled "Hydride Compounds" had been assigned a number and BLP had paid the fee. Several other patents were in the works. That's when things started heading South. Prompted by an outside inquiry (who would do such a thing?), the patent director became concerned that this hydrino stuff required the orbital electron to behave "contrary to the known laws of physics and chemistry." The Hydride Compounds application [the '294 application] was withdrawn for further review and the other patent applications were rejected. [September 6, 2002 Online Newsletter of Dr. R. Park, *What's New* (Attachment C) (emphasis added)]

Dr. Park's startling admission was confirmed two weeks later in the September 20, 2002 issue of the *Online Newsletter* published by the James Randi Educational Foundation (JREF). In it, James Randi gleefully boasted about Dr. Park's contacting the Patent Office with the express purpose of sabotaging Applicant's patent rights:

But why, hard on the heels of re-examining other questionable patents (see three weeks ago on this page), would the Patent Office have happened upon this particular one [BlackLight's withdrawn '294 application], when there are so many in this category? The secret can be inferred from Bob Park's weekly column, where we find: "Prompted by an outside inquiry (who would do such a thing?) . . ." That rascal!

The very fact that the Patent Office has paid heed to the complaints that Park, the JREF, and others have made, speaks well for rationality. Let's hope that we can look forward to many quack devices and systems being re-evaluated. Let's see a lot more of this "extraordinary action" from the Director. As for BlackLight Power, says Park, "Their long-awaited IPO may have to wait a little longer." [September 20, 2002 Online Newsletter of the JREF, *Swift* (Attachment C) (emphasis added)]

Despite all of this overwhelming incriminating evidence of improper outside interference by competitors with an administrative patent proceeding, the PTO prefers to ignore this matter. Apparently, this is not the first time that these same players—Dr. Park, James Randi and PTO officials—have been embroiled in a patent controversy such as this one involving improper interference with a patent proceeding. Less than a year before Applicant's five allowed applications were withdrawn from issue in February 2000, the PTO was caught up in another scandal of sorts involving the issuance of U.S.

Patent Nos. 5,748,088 and 6,011,476, granted on a device that can identify the obscured location of living entities. Following issuance of the '088 patent, Dr. Park published in his *What's New* newsletter inaccurate, disparaging remarks, which were picked up by James Randi on his JREF website, concerning the operation and reliability of the claimed invention. An article published in *Science Magazine* during the pendency of the '476 patent also reported on the controversy and the involvement of Sandia National Labs (SNL) in the testing of the device. [Attachment D] That involvement and the disclosure of confidential information to David Voss, author of the *Science* article, was itself the subject of some controversy and resulted in the issuance of an internal PTO memorandum that was placed in the '476 patent file.

In that memorandum, the PTO felt compelled to reiterate its policy forbidding PTO employees from making public disclosures concerning pending patent applications:

PTO MEMORANDUM FOR ALL EMPLOYEES: MEDIA CONTACT POLICY

Posted Date: 06/25/99  
Removal Date: 07/06/99

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND  
TRADEMARKS  
Washington, D.C. 20231

June 22, 1999

99-42

MEMORANDUM FOR All Employees

FROM: Acting Assistant Secretary of Commerce and Acting  
Commissioner of Patents and Trademarks

SUBJECT: Media Contact Policy

Since a memorandum on this subject was first issued several years ago, thousands of new employees have joined the PTO. Therefore, it is a good

time to reiterate PTO policy concerning employee contact with members of the media including, but not limited to, those in print, broadcast, cable, and online publications.

All requests, including telephone and e-mail, from members of the media for interviews, tours, and appearances should be directed to the Office of Public Affairs (Richard Maulsby or Brigid Quinn). Public Affairs will then determine the appropriate Office response for such requests and arrange for all interviews and any other meetings with the media. A member of the Public Affairs staff may attend interviews and meetings.

This policy applies only to contact with the media, not to interactions with customers. Any questions about media contact should be directed to the Office of Public Affairs at 305-8341.

Additionally, MPEP section 1701 and TMEP section 1801 specify that Office personnel should not comment on the validity or enforceability of any U.S. patent or trademark registration. These sections also caution employees about answering other particular inquiries concerning U.S. patents or trademark registrations. Any questions on this policy should be directed to your supervisor or to the MPEP Editor at 305-8813 for patents or to the Office of the Assistant Commissioner for Trademarks at 308-8900. [Attachment E]

Curiously, SNL is where Dr. Park previously served as head of its Surface Physics Division, leading Applicant to wonder whether SNL, or any of its sister labs, have had any similar involvement in the examination of this and other BlackLight applications. Applicant's curiosity on this point is further heightened by the fact that Examiner Bernard Eng-Kie Souw, a former employee with Brookhaven National Labs, has been engaged in the examination of BlackLight's patent applications for some time now. [See, e.g., Serial No. 09/513,768]

If, as Applicant suspects, the PTO has conferred with anyone having ties to the APS, like Dr. Park or Dr. Zimmerman, or to other BlackLight competitors in withdrawing or rejecting BlackLight's applications, that information would be highly relevant and thus must be disclosed. Clearly, knowing the identity and potential biases of all persons providing input or otherwise involved in rejecting BlackLight's applications, especially those with competing interests, bears directly on the credibility of those rejections.

Applicant has, on numerous occasions, disclosed to PTO officials information relating to Dr. Park's undermining of BlackLight's patent rights, as relayed in Dr.

Brewer's December 21, 2001 letter to then PTO Director Rogan, only to be ignored. [Attachment A. See also, for example, January 19, 2001 Letter to Director Kepplinger (Attachment K )] As Dr. Brewer explained in his letter, BlackLight is obviously concerned, among other things, that the PTO, once again, may have breached its duty to maintain confidentiality of U.S. patent applications under 35 U.S.C. § 122, 18 U.S.C. § 2071, 37 C.F.R. § 1.14, and M.P.E.P. § 101. The PTO's curt statement that it is "not in a position to discuss the issue at the present time" does little to allay those concerns.

Dr. Brewer further expressed in his letter distress over the suspected compromise of Applicant's patent rights to his novel hydrogen chemistry by a group of physicists with a vested interest in maintaining federal funding for projects based on a competing scientific theory and that those physicists continue to exert improper influence on the prosecution of BlackLight's pending applications.

Those suspicions are only fueled by continued PTO silence on these issues while it undercuts Applicant's patent rights based on statements of competitors like Dr. Park. For instance, In its March 22, 2000 Decision, the PTO justified its withdrawal action by relying, in part, on a *Washington Post* article written by Dr. Park only slightly more than a month prior to the withdrawal:

While petitioner in the accompanying letter points to favorable testimonials from scientists and entrepreneurs regarding the "revolutionary technology" that the instant application is asserted to embody, this does not establish that either the Director, Technology Center 1700, or the Director, Special Programs Law Office, committed reversible error, nor that the Notice should be withdrawn. In contrast, mainstream newspapers have reported this same "revolutionary technology" is accompanied by controversy in the scientific community. See Baard et al., Scientists and entrepreneurs have lots of ideas about new sources of energy; some may even be practical, *Wall St. J.*, Sept. 13, 1999, at R16; **Park, Perpetual motion; still going around, *Washington Post*, Jan. 12, 2000, at H3.** [March 22 Decision at 7 (Attachment G)]

Applicant is naturally skeptical that this timing was simply a coincidence. Regardless, the mere fact that the PTO would rely on any competitor to "bad-mouth" BlackLight's technology is troubling. That it relied on Dr. Park of all people, known for conducting "hatchet jobs" on new technologies that threaten federal funding for the physicists he represents, is contemptible.

The same *Washington Post* that ran Dr. Park's libelous article rebuked its less than credible author in a subsequent article confirming his reputation for engaging in what it described a "search-and-destroy mission" against inventors and scientists who seek to advance the bounds of science. [See Article dated June 25, 2000 (Attachment M)] To quote the article's exact words, "Park's anger permeates his rebuttals, which border on character assassination." Noting that "thoroughness is not Park's strong suit," the article goes on to suggest that his intentions may be less than honorable:

Park's failure to gather first-hand data is unfortunate, but his selective omissions are far more serious. In at least one case, he violated basic principles of journalism and science itself by apparently suppressing information that conflicts with his foregone conclusion. . . . Such tactics are reminiscent of the behavior of a zealous DA who is so convinced that a suspect is guilty that he feels entitled to withhold some information from the jury.

Dr. Park's competitive motives in attacking BlackLight's novel hydrogen chemistry, and thereby undermining its patent rights, are clear, as further recognized by the *Post* article in its description of Dr. Park as "a Washington lobbyist and PR flack for the American Physical Society." The article goes on to warn of the serious effects a rush to judgment can have without first-hand review of experimental evidence:

This is a serious matter, since even poorly documented vitriol can jeopardize a scientist's reputation and future funding if it is disseminated with the complicity of a respected organization such as the American Physical Society.

Incredibly, in rationalizing its withdrawal action, the PTO pays tribute to a "hatchet man" like Dr. Park, who never lets scientific evidence interfere with sabotaging a competitor, by citing his hostile statements against BlackLight. Yet, in explaining the issuance of BlackLight's '935 patent, the PTO publicly denigrates its entire examining corps, known for their careful study of experimental evidence in deciding whether to issue U.S. patents:

[P]atent examiners do review [patent applications]. Unfortunately, patent examiners are swamped and sometimes things slip through. [Statement of Associate Solicitor Baer in *BlackLight Power, Inc. v. Q. Todd Dickinson*, May 22, 2000 Tr. at 7 (Attachment K, Tab A)]

[E]xaminers are under tremendous pressure to produce work, and if they're going to approve [an application], they just approve it and kind of let it out the door. [May 22, 2000 Tr. at 48 (Attachment K, Tab A)]

As Dr. Brewer pointed out in his letter to Director Rogan, the PTO, in making these outrageous public statements, undercuts the statutory presumption of validity that has attached to every issued U.S. patent for well over 50 years:

**Presumption of validity; defenses**

A patent shall be presumed valid. Each claim of a patent (whether in independent, dependent, or multiple dependent form) shall be presumed valid independently of the validity of other claims; dependent or multiple dependent claims shall be presumed valid even though dependent upon an invalid claim. The burden of establishing invalidity of a patent or any claim thereof shall rest on the party asserting such invalidity.

Underlying this statutory presumption is the premise of administrative regularity, which presumes that well-trained examiners with expertise in their respective fields properly carry out their examination duties by issuing only valid patents. See, e.g., American Hoist & Derrick Co. v. Sowa & Sons, Inc., 725 F.2d 1350, 1359 (Fed. Cir. 1984). This presumption was, in fact, confirmed by the capable work of Examiners Langel and Kalafut who, with over 50 years of experience between them, examined and allowed Applicant's '935 patent, along with BlackLight's withdrawn applications.<sup>100</sup>

As succinctly stated in Dr. Brewer's letter, Solicitor Baer's statements on behalf of the PTO should be alarming to just about everyone, with the possible exception of accused patent infringers, and most certainly do not reflect well on an agency charged with maintaining the integrity of the patent system. Applicant felt that a meeting with Director Rogan to secure a retraction of those statements would be mutually beneficial to both sides. Yet once again, inexplicably, the PTO was not, and presumably is still not, prepared to discuss this issue.

These and other unfair assaults on Applicant's patent rights leave him to ponder: What would motivate the PTO to conduct itself with such total disregard for U.S. patent

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<sup>100</sup> The Examiners initially rejected all claims in these cases, but after conducting five lengthy personal interviews with Applicant and carefully considering Applicant's experimental evidence, they ultimately allowed those claims.

laws and regulations governing its administrative authority just to attack this one Applicant?

Applicant's fear is that these attacks may be attributable to competitors, like Dr. Park, who are coordinating an organized smear campaign to discredit BlackLight's technology. That fear is only heightened by the PTO's hiding behind strained theoretical arguments as an excuse for refusing to fairly evaluate Applicant's experimental evidence, while using its Secret Committee to issue anonymous rejections in this and other BlackLight applications. Dr. Brewer also brought these issues to Director Rogan's attention as an agenda item for a meeting that, unfortunately, has never taken place.

Applicant, however, has a right to know the identity and qualifications of all persons providing input to, or otherwise participating in, the examination process. This information bears directly on the credibility of the rejections that have been entered in this and other BlackLight applications. For instance, if Dr. Park or any of his physicist cronies have been consulted in denying Applicant his patent rights, it would certainly explain the arbitrary and capricious handling of the experimental evidence of record in those cases.

Particularly germane is the identity of those persons responsible for, or otherwise involved in, creating the Office Actions, Attachments, and Appendices that make up the record in this application and other BlackLight cases. To this day, the Committee has refused, without any adequate explanation, to provide this vital information to the detriment of Applicant.

Furthermore, Applicant is entitled to know which PTO officials are ultimately responsible for analyzing Applicant's scientific data evidencing the existence of lower-energy hydrogen, and which officials have the final authority to decide the fate of BlackLight's applications. The Committee's unfair refusal to divulge that information has also seriously handicapped Applicant's ability to effectively respond to and overcome the rejections of record.

For instance, Applicant has been stymied on numerous occasions in attempts to discover the basis for various positions articulated by the Committee, or the status of certain actions it has taken. Seldom are the Examiners of record, who are mere



signatories to the Committee's handiwork, or their immediate supervisors, able to give any useful guidance on those subjects, either because they have no authority to do so and cannot divulge who does, or, in some cases, they do not know who even has custody of the patent file so as to investigate the answer to a particular question.

Knowing who is responsible for analyzing the record evidence would also allow Applicant to assess that person's qualifications, as compared to those Ph.D. scientists who have peer reviewed the published experimental evidence confirming lower energy states of hydrogen. Equally important, by knowing who has authority to issue BlackLight's applications, Applicant can more easily ascertain and satisfy the patentability standards being applied in rejecting claims to his novel hydrogen technology.

Illustrating this last point, Applicant attempted to force the Secret Committee to set reasonable standards by which his data could be accepted as reliable proof by requesting the personal Interview that was held on February 21, 2001. Of course, to effectively determine the standards being applied against Applicant, he first had to identify the person(s) responsible for setting those standards.

Applicant, however, was only partially successful in that effort. Prior to the February 21 Interview, Applicant's counsel uncovered the identity of only one Committee member, Examiner Vasu Jagannathan, who played a role in rejecting BlackLight's applications. Incredibly, Examiner Jagannathan initially denied any such involvement, accurately noting that his name did not appear anywhere in the record. He therefore refused counsel's explicit request that he attend the upcoming Interview. Only after counsel wrote to a high-level supervisor demanding that Examiner Jagannathan attend did counsel receive confirmation that the Examiner was "directly involved in the creation of the Office Action" to be discussed at the Interview and that he would indeed attend. [See January 19, 2001 letter to Director Esther Kepplinger (Attachment K) and February 12, 2001 Letter from Director Jacqueline M. Stone (Attachment N)]

Examiner Jagannathan confirmed his direct involvement by leading the Interview discussions. The Examiner's participation afforded Applicant an opportunity to assess his qualifications to examine and evaluate the experimental evidence of record. Applicant was astonished to hear Examiner Jagannathan basically admit he was

unqualified to do so based on several of his comments. One of those comments, as discussed previously, included his characterization of Applicant's highly reliable spectroscopic data confirming lower energy states of hydrogen as a "bunch of squiggly lines."

When pressed for guidance on what standards he used to evaluate Applicant's scientific data and to decide whether to issue his patents, Examiner Jagannathan would not elaborate. Rather, he proposed a new standard requiring Applicant to submit and publish his data in peer-reviewed journal articles before he would give it serious consideration. Despite strenuous objections to this newly minted standard, Applicant nonetheless worked diligently to comply with it.

Over the subsequent years, Applicant has used vast resources to present experimental evidence of lower energy states of hydrogen—much of it generated by independent third parties—in over 50 peer-reviewed articles published in the prestigious scientific journals mentioned above. Despite this significant accomplishment, the Committee, true to form, has essentially ignored that published evidence.

It should be further noted that Applicant has successfully met the Committee's new "publication" standard despite attempts by Applicant's detractors, most notably Dr. Zimmerman, to undermine that effort. [See Attachment H] Applicant's discovery that Dr. Zimmerman has been contacting various journals to dissuade publication of Applicant's articles is especially alarming given that the Committee has relied on non-peer reviewed statements by him—statements that were posted in an internet chat room of all places and that he readily admits are biased—to reject claims in BlackLight applications.

If, as Applicant suspects, the Committee has cooperated with Dr. Zimmerman, or other such biased individuals, in denying Applicant his patent rights, while those same individuals have worked behind the scenes to undermine Applicant's compliance with the Committee's concocted publication requirement, again, that critical information should be disclosed without further delay.

Applicant is hardly surprised by his inability to break the PTO's code of silence on the suspicious handling of BlackLight's applications given that the PTO has stonewalled similar inquiries from five U.S. Senators—four of whom requested that Senator Patrick

Leahy, Chairman of the Judiciary Committee overseeing the PTO, and/or Commerce Secretary Donald Evans, look into this matter. [See letters to and from Senators Max Cleland, Robert Torricelli, Jon Corzine, Ron Wyden, and Gordon Smith (Attachment O)] The PTO's continued refusal to respond to the Senators' inquiries suggests that, perhaps, it has something to hide.<sup>101</sup>

If the PTO looks to the Federal Circuit's June 28, 2002 Decision for license to continue its hostile prosecution through secret examination, it will not find it. Indeed, Judge Newman, in rationalizing her ruling, incorrectly assumed that the PTO would fairly and expeditiously prosecute BlackLight's applications:

Such action must of course be reasonable under the circumstances and rare in occurrence, lest the emergency become the rule. But when necessary in order to fulfill the PTO's mission, with safeguards to the interests of the applicant including fair and expeditious further examination, we agree with the district court that the action taken is a permissible implementation of the statute and regulation. [See *BlackLight Power* at pages 1537 (Attachment B) (emphasis added).]

Nothing could be further from the truth. As documented by Applicant, the PTO's prosecution of BlackLight's applications has been nothing short of hostile and its attempt to hide the mistreatment of Applicant behind the authority of a Secret Committee only exacerbates the unfairness of those actions. This untenable situation has failed to provide the safeguards to the interests of Applicant, including fair and expeditious further examination, contemplated by the Federal Circuit in its Decision and, therefore, has prompted Applicant to herein request an equitable remedy that the PTO immediately issue all five withdrawn BlackLight applications that gave rise to that Decision. [See Demand for Information and Redress, *infra*.]

Applicant strongly urges the PTO to break its silence and to engage in an open and honest discussion on the merits of the issues that continue to plague BlackLight's

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<sup>101</sup> In the PTO's reply to the Senators' inquiry letters, Robert L. Stoll, Administrator for External Affairs, contended that any comments in response to those inquiries would be "inappropriate" because of the then-pending appeal to the Federal Circuit in *BlackLight Power Inc. v. Dickinson*, Civ. No. 00-0422 (D.D.C.). [See Attachment O] Putting aside the fact that the issues then on appeal had absolutely nothing to do with the points of inquiry, this contrived excuse has gone stale as the Federal Circuit decided that case years ago in June 2002. [See Attachment B] By its own statements, nothing now prevents the PTO from cooperating with the U.S. Senate regarding the administrative irregularities brought to its attention.

remaining applications. Applicant renews his earlier commitment, as expressed in Dr. Brewer's December 21, 2001 letter, to meet with the PTO Director and/or any other government officials, anywhere, anytime, to resolve these outstanding issues. Applicant sincerely hopes that the Director will likewise commit himself to achieving the same objective so that a fair and expeditious prosecution of BlackLight's applications that safeguards Applicant's interests, as envisioned by the Federal Circuit, can finally move forward with mutually beneficial results.

Part of that forward movement should include proper consideration of the overwhelming experimental evidence confirming the utility and enablement of Applicant's claimed invention. In view of that evidence, Applicant submits that the rejections under 35 U.S.C. §§ 101 and 112 are misplaced and should be withdrawn, and that the present application is in condition for allowance.

**Discussions Held And Agreements Reached  
During The February 11, 2003 Interview**

The above-mentioned problems associated with the Secret Committee's examination of this and other BlackLight applications can be summarized as follows based on its failure to:

- (1) identify all persons from within and outside the Patent Office who contributed to, or were otherwise involved in, withdrawing or rejecting BlackLight's applications;
- (2) identify those persons having ultimate authority to analyze the vast body of experimental evidence demonstrating the existence of lower energy states of hydrogen and, based on that analysis, for deciding whether to issue patents on Applicant's novel hydrogen technology;
- (3) establish and apply consistent patentability standards and guidelines by which that patentability decision is to be made; and
- (4) properly analyze the evidence of record—now published, or to be published, in over 50 peer-reviewed journal articles—that the Committee required Applicant to submit.

The Committee merely perpetuated those failures in its previous Office Actions by dismissing, without serious analysis, Applicant's submitted data evidencing lower energy states of hydrogen. Frustrated by the Committee's inaction, but still determined to get a fair hearing, Applicant requested and received the courtesy of another personal Interview, held February 11, 2003, to present his evidence and to discern the standards by which the ultimate decision-maker would be evaluating it.<sup>102</sup>

To that end, Applicant repeatedly requested that Examiner Jagannathan attend the Interview, since he had led the prior Interview held February 21, 2001, and, despite attempts to keep his identity secret, he was the only person known to have been directly involved in creating the substantive Office Actions of record. Specifically, Applicant sought to question Examiner Jagannathan on why he still refused to accept Applicant's scientific data evidencing lower-energy hydrogen after it had been published, or was soon to be published, in what was then over 40 (now over 50) peer-reviewed journal articles, which he himself had required. Applicant, however, never got the chance to pose that question. Without explanation, Examiner Jagannathan refused to attend the Interview, just as he had refused to attend the Interview held two years earlier—only this time, he did not show up.

Applicant also requested that Examiners Wayne Langel and Stephen Kalafut attend the Interview, since they had previously allowed the five BlackLight applications that were mysteriously withdrawn from issue and their names were the only ones appearing in the record as signers of the substantive Office Actions under consideration. Examiners Langel and Kalafut did appear for the Interview, together with their immediate supervisors, SPE's Patrick Ryan and Stanley Silverman. Examiner William Wayner, who is assigned to one BlackLight application and expressed an interest in attending the Interview, also appeared.

Also attending the Interview and leading the discussions on the PTO's behalf was Quality Assurance Specialist Douglas McGinty, who until that time had never been identified to Applicant as having played any role in the examination of his applications.

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<sup>102</sup> Although the Interview Summary does not specifically list the serial number of all BlackLight applications as being the subject of the February 11, 2003 Interview, Examiners Langel and Kalafut agreed beforehand that the Interview would be held to address the similar rejection of claims in all assigned cases based on an alleged lack of utility and inoperability.

Attending the Interview on behalf of BlackLight Power were the inventor, Dr. Randell L. Mills, his counsel, Jeffrey S. Melcher and Jeffrey A. Simenauer, and company Director Dr. Shelby Brewer.

Also attending the Interview as an observer at Applicant's request was Ted C. Liu, Senior Legislative Assistant for Congressman David Wu, who represents the 1<sup>st</sup> District of Oregon.

During the Interview, Applicant made a sincere effort to advance the prosecution of his applications and to find common ground upon which all of these cases, once again, would be allowed to issue as patents. Applicant believed it was a worthwhile effort in light of Examiner Langel's statements on the record reaffirming his consistent view that Applicant's novel hydrogen technology is fully operable and, therefore, entitled to patent protection. The Interview was also significant in view of the following representations and agreements that resulted from the discussions between Applicant and lead-Specialist McGinty:

- (1) Applicant will identify the scientific data supporting lower energy states of hydrogen generated and furnished by independent third parties;
- (2) the Examiners whose signatures appear on the rejections of record, *i.e.*, Examiners Langel, Kalafut, and Wayner, have full authority to review that data and, based on their review, to issue patents as deemed appropriate; and
- (3) Applicant will confer with the signatory Examiners, either by telephone or in person, to review each assigned application on a claim-by-claim basis to ensure that the scientific data presented adequately supports the scope of the claims. For those claims determined to be adequately supported by the data, a patent will issue. For any claims deemed to be inadequately supported, Applicant reserves the right to continue seeking that broader claim coverage in subsequent proceedings.

Applicant appreciated the guidance Specialist McGinty provided during the Interview for securing BlackLight's patents. Based on that guidance, Applicant presented comments in several copending applications for which Responses were due detailing the substance of discussions held at the Patent Office on February 11<sup>th</sup> and

identifying the independent, third-party data per agreement (1) above, which information is reproduced below. [U.S. Serial Nos. 09/110,678 and 09/362,693]

Applicant's comments confirmed Examiner Langel's long-held view that the claims in those cases were in condition for allowance. Applicant therefore requested that Examiner Langel exercise his authority to issue a Notice to that effect per agreement (2) above so that a patent could then be issued.

Following up on the Responses filed in those copending applications per agreement (3) above, Applicant arranged for an Interview with Examiner Langel to review the cases on a claim-by-claim basis to ensure that the scientific data presented adequately supported the scope of the claims in those cases. In fact, Applicant and Examiner Langel reached a tentative understanding that certain claims were adequately supported by the data and that Applicant was therefore entitled a patent.

Unfortunately for Applicant, that understanding was short-lived after Examiner Langel agreed, under the most grievous of circumstances, to his removal from examining all BlackLight applications to which he was assigned. Before discussing the negative aspects of that incident, however, Applicant presents the following recap of the discussions held during the February 11, 2003 Interview that lead to the above agreements.<sup>103</sup>

Just prior to the Interview, Specialist McGinty asked that Mr. Liu speak by telephone with Talis Dzenitis, a Congressional Affairs Specialist in the PTO's Legislative and International Affairs Office, to discuss his reasons for attending. Mr. Liu explained to Specialist Dzenitis that a constituent associated with BlackLight had contacted Congressman David Wu complaining of the irregular procedures the PTO has used in examining the company's pending patent applications. The procedures complained of included the PTO's withdrawal of the five applications approved by Examiners Langel and Kalafut for issuance as patents and the subsequent rejection of those and other BlackLight applications by an unknown group of PTO officials referred to by Applicant as a "Secret Committee."

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<sup>103</sup> Much of the substance of these discussions was confirmed in e-mail correspondence between Mr. Liu and Applicant's Counsel. [See Attachment P]

Specialist Dzenitis represented to Mr. Liu that no such secret committee exists at the Patent Office. Applicant was surprised by that representation considering that a group of anonymous PTO officials are known to be handling BlackLight's applications and drafting the substantive Office Actions that the Examiners of record are instructed to sign.

Examiner Langel confirmed as much in an extended discussion he had with Mr. Liu and Applicant's counsel following the formal phase of the Interview. During that discussion, Examiner Langel repeated his prior denials of having authored the substantive Office Actions of record in the BlackLight applications to which he was assigned, even though those Actions bear his signature. Examiner Langel also repeated his previously expressed view that Applicant is entitled to patents on his novel hydrogen technology and that he wanted to issue those patents. Examiner Langel explained, however, that other PTO officials unknown to him having higher authority were responsible for drafting the substantive Office Actions he signed and for deciding whether to issue Applicant his patents.

The only person Examiner Langel could identify for Mr. Liu as "having something to do with the Office Actions" was Examiner Jagannathan, whose name does not appear on any Office Action. As noted above, Examiner Jagannathan kept his identity a secret from Applicant until counsel exposed his direct involvement in creating the Office Actions of record and forced him to attend the prior Interview that he led on February 21, 2001. When the recent February 11, 2003 Interview started, it was Specialist McGinty, another previously unidentified PTO official, who led the discussion.

Following the telephone conversation with Specialist Dzenitis, in which he denied the existence of a secret committee, Mr. Liu joined the Interview already in progress. Applicant began the Interview with a general discussion of his novel hydrogen technology and a presentation of the experimental evidence confirming its operation and utility. Specifically, Applicant explained to the PTO officials in attendance how independent laboratory studies, including those conducted by a leading Los Alamos researcher and by a NASA funded group, as well as other highly reliable scientific data, demonstrate the existence of lower energy states of hydrogen underlying his technology.



At no time during Applicant's presentation did the PTO officials analyze or otherwise address to any significant degree the merits of that data proving the existence of lower-energy hydrogen. Rather, these officials—with the exception of Examiner Langel—raised non-technical arguments, similar to those raised in the pending Office Actions, why lower-energy hydrogen could not exist and, thus, why they were justified in according the real-world data little or no weight.

The first such argument, raised by Examiner Wayner, was based on unrelated technologies that have been subjected to ridicule in the scientific community, such as perpetual motion, cold fusion, and 100-miles-per-gallon carburetors. Examiner Wayner compared those controversial technologies to BlackLight's novel hydrogen chemistry and then asked Applicant: "How is your invention any different?"

Applicant pointed out significant differences. Unlike the far-fetched inventions mentioned by Examiner Wayner, Applicant explained that his inventions have been actually reduced to practice, as demonstrated by the many working prototype energy cells developed over the past ten years and the novel chemical compounds produced by the process, which were made available to the PTO in the past and again during the Interview. In fact, Applicant invited the PTO officials to visit his laboratory in Cranbury, New Jersey and witness the operation of his energy cells for themselves, but like prior invitations, this one too was ignored.

Applicant further distinguished his claimed inventions based on the substantial body of experimental evidence that corroborates the existence of lower energy states of hydrogen. Again, none of the PTO officials who raised non-technical arguments questioning the operability of Applicant's novel hydrogen technology made any real attempt to analyze that corroborating evidence. Indeed, Examiner Wayner frankly admitted that his background was in mechanical engineering and, therefore, he was not qualified to conduct such an analysis.

Examiner Wayner also questioned why, if BlackLight's technology was such an important discovery, the company had not yet developed a commercial device for producing energy. Applicant explained that the high cost of developing commercial products was an impediment and that, because BlackLight was not positioned to handle

commercial development, it was looking to license patents on its technology to other companies for commercialization purposes.

Concerned that Examiner Wayner might be introducing yet another new patentability standard, requiring the sale of a commercial product, counsel pressed the Examiner on whether that was his intention. Examiner Wayner plainly stated it was not and, in response to a specific question from Mr. Liu, affirmed that Applicant need not prove commercial applicability to secure a patent for his invention.

Applicant also became alarmed when Examiner Wayner, in referring generally to BlackLight's "detractors," invoked only the name of APS lobbyist and spokesman Dr. Robert Park as someone who disputes the existence of lower energy states of hydrogen. Applicant's counsel wanted to raise issues relating to Dr. Park's "Deep Throat" contact in the Patent Office and his reputation for conducting "hatchet jobs" on new technologies that threaten his lobbying of hundreds of millions of dollars on behalf of the APS to federally fund its pet projects. Specialist McGinty, however, cut counsel off, refusing to discuss the matter. When Specialist McGinty suggested that BlackLight has a "similar agenda," noting its recent NASA contract, Applicant corrected him, explaining that BlackLight does not receive any government funding for its research. Specialist McGinty had no response and the discussion moved onto other, less controversial subjects.

Examiner Wayner raised other issues regarding the reliability of the scientific evidence presented by Applicant. That evidence included spectroscopic data, which counsel described as being equivalent to a "chemical fingerprint." Counsel further noted that Dr. Park himself, whom Examiner Wayner identified as BlackLight's chief antagonist, has proclaimed the extraordinary reliability of spectroscopic data. [See *supra*.]

Yet when Applicant tried to present this highly reliable spectroscopic data at the Interview showing the spectral lines corresponding to lower-energy hydrogen, *i.e.*, a "hydrino" state, Examiner Wayner interrupted, stating that "spectroscopic lines are meaningless" and "don't mean a hill of beans" to him.

Counsel again became concerned that BlackLight's applications were being evaluated using rather loose patentability standards. Counsel therefore requested that

the PTO officials provide some guidance regarding the evidentiary requirements they were imposing on Applicant. Specialist McGinty and Examiner Wayner at first did not respond directly to Counsel's request for guidance, but rather began questioning the accuracy of the test data Applicant submitted to confirm the existence of lower energy hydrogen.

Applicant explained that the submitted test data was generated by highly qualified Ph.D. scientists, many of whom represent independent laboratories. Applicant further noted how this data had been extensively peer-reviewed in the 40-plus (now over 50) articles published, or soon to be published, in prestigious scientific journals, including the *Journal of Applied Physics*. Applicant also provided Specialist McGinty—much to his surprise—with specific data showing the lower-energy state spectral lines that were published in the prestigious spectroscopic publication, *Journal of Molecular Structure*.

Applicant was astounded by the refusal of Specialist McGinty and Examiner Wayner to accept the reliability of the scientific data appearing in these published journal articles, especially considering the PTO's routine acceptance of evidence submitted in printed publications to overcome utility rejections. See, e.g., MPEP § 2107.01 (VI) pp. 2100-33 ("An applicant can [submit evidence in response to a utility rejection] using any combination of the following: amendments to the claims, arguments or reasoning, or new evidence submitted in an affidavit or declaration under 37 CFR 1.132, or in **a printed publication**." (emphasis added)).

Counsel also reminded the PTO officials of the standard imposed by lead-Examiner Jagannathan during the previous Interview held February 21, 2001 that conditioned his consideration of evidence of lower-energy hydrogen on its publication in peer-reviewed journal articles based on the reliability of the peer-review process. Counsel then noted once again that, despite Examiner Jagannathan's failure to provide legal authority for imposing this unreasonable standard, Applicant had not only met it, but had exceeded it with over 40 (now over 50) journal articles. Having done so, counsel expressed extreme frustration with the PTO's continued refusal to seriously analyze the published scientific data based on manufactured excuses, such as this newly concocted one concerning the accuracy of Applicant's data.

Specialist McGinty raised yet another weak excuse for ignoring the published data by asking what assurances Applicant could provide that the journal articles had been actually peer reviewed! Mystified by that question, Applicant could only state what is a simple known fact: to get scientific data published in a journal article, it must first go through a rigorous peer-review process. Indeed, many of Applicant's articles went through numerous drafts and required further experimentation as directed by the Ph.D. scientists who peer reviewed those articles.

At that point in the Interview, Specialist McGinty admitted that, like Examiner Wayner, he was not qualified to analyze the published data. Applicant was surprised by that admission, since the Interview was being led by Specialist McGinty and had been arranged for the express purpose of presenting the experimental evidence of record.

Examiner McGinty's admission merely fueled Applicant's prior concerns that his published scientific data was not being properly considered, prompting counsel to ask who was responsible for analyzing that data. Specialist McGinty replied by stating that Examiners Langel and Kalafut, the Examiners of record, had that responsibility. That too came as a surprise, since Examiners Langel and Kalafut, of course, were the ones who had originally reviewed Applicant's experimental evidence in allowing the five BlackLight applications that were subsequently withdrawn from issue. Applicant, however, was relieved to learn that these two Examiners, who had over 50 years of experience between them and who were obviously qualified to analyze the published data, were being reassigned that task.

Counsel then addressed the vexing problem of constantly changing patentability standards that had been plaguing the examination process. Counsel specifically mentioned, for example, the prior Office Action that claimed Applicant's lower-energy hydrogen technology violated known laws of physics and chemistry without specifically identifying even one such law, and then required Applicant to prove otherwise.

Counsel also cited a recent Office Action dismissing Applicant's scientific data out of hand for failing to prove the invalidity of quantum theory:

The request for reconsideration has been entered and considered but does not overcome the rejection . . . because there is no evidence presented which would prove applicant's contention that the theory of quantum mechanics is invalid."  
[October 7, 2002 Advisory Action entered in U.S. Serial No. 09/110,717]

When Specialist McGinty accused Applicant of putting a "spin" on the Examiner's rejection, counsel noted that he had been reading the above quotation directly from the Office Action.

Counsel also mentioned other recent Office Actions filed in BlackLight cases that dismissed Applicant's recent submission of peer-reviewed journal articles, in accordance with the standards imposed by Examiner Jagannathan, as being merely "cumulative" when it clearly was not and even the originally submitted evidence had not been properly analyzed.

Expressing frustration over the PTO's failure to provide any consistent patentability standards to guide Applicant, counsel once again requested that Specialist McGinty provide such guidance. Specialist McGinty again raised concern over the integrity of the experimental evidence, but indicated that he would be more receptive to that evidence if it was validated by independent third parties.<sup>104</sup>

Applicant explained to Specialist McGinty that much of the evidence submitted over the previous four years was, in fact, generated by independent third parties. Applicant then began citing examples of the extensive independent third-party evidence disclosed in publications previously cited to the PTO, as well as more recently generated evidence that was subsequently submitted.<sup>105</sup> Specialist McGinty did not respond, whereupon counsel noted that his unfounded concern that the record evidence

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<sup>104</sup> Just as Specialist McGinty sought assurances at the February 11 Interview that persons involved in generating and furnishing the scientific data submitted by Applicant are independent and unbiased, Applicant deserves similar assurances that those involved in rejecting BlackLight's applications are also independent and unbiased. Despite Applicant's repeated requests for such assurances, none have been given.

<sup>105</sup> See R. L. Mills, B. Dhandapani, M. Nansteel, J. He, A. Voigt, "Identification of Compounds Containing Novel Hydride Ions by Nuclear Magnetic Resonance Spectroscopy", *Int. J. Hydrogen Energy*, Vol. 26, No. 9, (2001), pp. 965-979.

R. L. Mills, P. Ray, B. Dhandapani, M. Nansteel, X. Chen, J. He, "New Power Source from Fractional Quantum Energy Levels of Atomic Hydrogen that Surpasses Internal Combustion", *J Mol. Struct.*, Vol. 643, No. 1-3, (2002), pp. 43-54.

J. Phillips, R. L. Mills, X. Chen, "Water Bath Calorimetric Study of Excess Heat in 'Resonance Transfer' Plasmas", *Journal of Applied Physics*, submitted.

A. J. Marchese, P. M. Jansson, J. L. Schmalzel, "The BlackLight Rocket Engine", Phase I Final Report, NASA Institute for Advanced Concepts Phase I, May 1-November 30, 2002, [http://www.niac.usra.edu/files/studies/final\\_report/pdf/752Marchese.pdf](http://www.niac.usra.edu/files/studies/final_report/pdf/752Marchese.pdf).

lacked third-party validation merely demonstrated the PTO's failure to thoroughly analyze that evidence.

Further demonstrating a lack of familiarity with the record evidence, Specialist McGinty criticized Applicant's experimental evidence as a whole by referring numerous times to only high-power plasma data. Applicant repeatedly pointed out that the plasma data was but a small fraction of the submitted evidence and that it was presented primarily to provide additional support for his plasma-related applications.

Applicant noted that the vast body of other scientific data he submitted relates to a broad range of analytical studies demonstrating the existence of lower energy states of hydrogen. For example, regarding those applications relating to novel chemical compounds, Applicant pointed Specialist McGinty to the extensive spectroscopic data supporting the identification of those compounds. Specialist McGinty, however, apparently did not understand the significance of that data, stating that the NMR data confirming lower-energy hydrogen could have been due to nitrogen. Applicant had to explain that, as a matter of basic scientific knowledge, NMR data only shows protons and that no other element but hydrogen is in the data range. Applicant also explained that the NMR data confirms the presence of an internal energy source.

Knowing that highly qualified Examiners Langel and Kalafut were once again responsible for analyzing the published data was reassuring. There still remained, however, one nagging issue, namely, who had the ultimate authority to issue Applicant his patents. Counsel expressed concern that the pending applications were being examined in secret and that, without knowing who had that authority, Applicant was being unfairly denied an opportunity to present his case to the actual decision-maker.

Specialist McGinty then stated in no uncertain terms that Examiners Langel, Kalafut, and Wayner, the signers of the Office Actions under consideration, had "full authority" to examine the pending applications and to issue the patents.

Upon hearing that statement, counsel immediately turned to Examiner Langel and asked him point blank whether, after having studied the experimental evidence of record, he still believes that BlackLight's patent applications were allowable. The Examiner replied in no uncertain terms, "Yes, they're still allowable."

Counsel then asked Examiner Langel whether he was prepared to immediately allow the claims and issue Applicant his patents in those applications assigned to him, as is customary during an Interview, to which the Examiner replied, "Fine with me."

Specialist McGinty, however, expressed uneasiness over Examiner Langel's agreement to allow claims at the Interview. Specifically, he stated his concern that even if Applicant's claimed technology were found to be operable, there were still issues of novelty and nonobviousness to be addressed before a patent could be issued.

Counsel was surprised by that statement given the PTO's arguments over the prior three years that Applicant's inventions were inoperable based on an incorrect assumption that lower-energy hydrogen cannot possibly exist. Counsel pointed out the obvious contradiction in arguing that the Examiners may still need to conduct a prior art search for possible disclosure of Applicant's lower-energy hydrogen technology.

Counsel further noted the PTO's own examination guidelines requiring Examiners to evaluate the operability and utility of a claimed invention together with its novelty and nonobviousness following a complete prior art search. See MPEP § 706.<sup>106</sup> Counsel again turned to Examiner Langel to confirm whether that was his understanding. The Examiner replied that it was and indicated that, in fact, the first thing he did was to conduct a thorough prior art search because he thought that might be the easiest way to dispose of the applications assigned to him. Examiner Langel explained, however, that he was unable to reject the applications on prior art grounds, which was why he originally allowed them.

Counsel acknowledged Specialist McGinty's hesitance to issue Applicant patents covering his claims at the Interview and assured him that Applicant wanted to work with him to remove any lingering concerns. Counsel then specifically asked Specialist

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<sup>106</sup> MPEP § 706 provides in pertinent part:

After the application has been read and the claimed invention understood, a prior art search for the claimed invention is made. With the results of the prior art search, including any references provided by the applicant, the patent application should be reviewed and analyzed in conjunction with the state of the prior art to determine whether the claims define a useful, novel, nonobvious, and enabled invention that has been clearly described in the specification. The goal of examination is to clearly articulate any rejection early in the prosecution process so that the applicant has the opportunity to provide evidence of patentability and otherwise reply completely at the earliest opportunity.

McGinty to articulate how they might proceed in trying to accomplish that mutually beneficial goal. In response, Specialist McGinty indicated that, in the next Response to the pending Office Actions, Applicant should focus on identifying the scientific data generated by independent third-party testing, as opposed to test data generated solely by Applicant. Counsel agreed to do that.

Specialist McGinty further expressed concern over whether that scientific data, even if assumed to be reliable, was commensurate with the scope of the claims of the various applications to adequately support patentability. Counsel stated that Applicant's data did adequately support the claimed subject matter. Counsel, however, recommended reviewing the claims of each application one by one with the assigned Examiners to see if at least some agreement could be reached as to those claims that are adequately supported and for which patents can be issued. As for any remaining claims that the Examiners believe are not adequately supported by the scientific data, Applicant would be free to seek such broader claim coverage through continued prosecution.

Specialist McGinty agreed that this was a reasonable way to proceed and granted a request by counsel, Mr. Simenauer, that this agreement be memorialized in writing in an attachment to the Interview Summary Form. Mr. Simenauer offered to draft this agreement, as is common practice, and Specialist McGinty enthusiastically accepted the offer. Mr. Simenauer then drafted the following Attachment as Specialist McGinty looked on:

#### **ATTACHMENT TO INTERVIEW SUMMARY FORM**

Applicant requested that the following points discussed at the Interview held on February 11, 2003 be included as an Attachment to the Interview Summary Form.

Applicant's counsel and the Examiners in attendance at the Interview agreed to meet again at a future date, either in person or by telephone, to continue discussions regarding the patentability of Applicant's pending patent applications. Specifically, the Examiners expressed concern that Applicant's experimental evidence be commensurate with the scope of the claims. To address that concern, Applicant's counsel agreed with the Examiners to go



through the patent applications claim-by-claim with the Examiners and demonstrate how the scientific data supports those claims.

For those claims that are supported by the data, the PTO agrees to issue those claims. For those claims that the PTO determines are not supported by the data, Applicant will continue to seek that broader claim coverage in subsequent proceedings. [Attachment F]

After completing the two-page handwritten Attachment, Mr. Simenauer read it out loud in the presence of Specialist McGinty and Examiner Langel so that they could confirm its accuracy and make any necessary changes. When asked by counsel whether they were satisfied with the wording of the Attachment, Specialist McGinty stated that he was, as did Examiner Langel, who then signed each of the two pages. There was absolutely no confusion as to the agreement to issue patents for those claims found to be supported by the scientific data.

Incredibly, in a transparent attempt to rewrite history, some unknown PTO official apparently instructed Examiner Langel to sign a subsequent communication mailed over two weeks later, on February 26, 2003, that included an attached "Supplement to Interview Summary" (Attachment F), which provides in pertinent part:

The following is a supplement to the summary concerning the February 11, 2003 interview re 09/501,622, etc. . . . A two-page Interview Summary was provided by Examiner Langel. A two page "Attachment to Interview Summary Form" also was provided by Mr. Simenauer. While the Attachment may represent the applicant's understanding of the interview, two points must be clarified.

First the second page of the applicant's attachment states in part: "for those claims that are supported by the data, the PTO agrees to issue those claims." The PTO made no such agreement. Instead, the PTO representatives indicated that the rejections under both 35 USC 101 and 112, 1<sup>st</sup> para., are outstanding and that evidence as to verification by credible, established, independent third parties would carry more persuasive weight.

Second, QAS Douglas McGinty was not listed in the Examiner's Interview Summary. He was present during the interview with the aforementioned attendees.

[signed] Wayne Langel  
Primary Examiner  
Art unit 1754

If PTO officials wanted to retract one of the key agreements reached at the Interview, they should have expressly said so, identifying who made the decision and giving reasons for the retraction. Since this was not done, Applicant has no choice but to rely on the accuracy of the contemporaneous written record.

Moreover, in view of other agreements reached at the Interview, the suggestion that there was no agreement to issue patents under the stated conditions is absurd—though hardly surprising given the sordid prosecution history of BlackLight's patent applications. Specialist McGinty plainly stated on the record that the Examiners who signed the outstanding rejections have full authority to review the data and to issue Applicant his patents. Also of record is Examiner Langel's unequivocal statement that, based on his review, he was prepared to issue those patents. To then force this same Examiner to sign a statement two weeks after the fact denying that "for those claims that are supported by the data, the PTO agrees to issue those claims" is, frankly, embarrassing.

Other ineffective arguments, such as those made by Examiner Kalafut in his Advisory Action dated April 2, 2003 filed in U.S. Serial No. 08/467,911, that "the present Examiner did not commit to any agreements during the interview" are also disappointing and, hopefully, will not be repeated. Applicant acknowledges that, to the best of his recollection, Examiner Kalafut, although present at the February 11 Interview, did not speak a word. As previously indicated, it was Specialist McGinty who led the Interview on behalf of the PTO and it was he who ultimately agreed to the terms under which examination of BlackLight's patent applications would proceed, which terms were expressly reduced to writing. For Examiner Kalafut, or any other Examiner assigned to one of BlackLight's applications, to now attempt to distance themselves from that agreement based on the weak assertion that they did not personally commit to it during

the Interview merely illustrates yet another example of the PTO's arbitrary and capricious approach to examining these applications.

**Applicant's Identification of Scientific Data Supporting Lower energy States of Hydrogen Generated and Furnished By Independent Third-Parties**

In light of the controversial prosecution history of this and other pending BlackLight cases, Applicant appreciated what seemed to be Specialist McGinty's willingness to set reasonable standards and guidelines by which Applicant's patents could finally be issued. Applicant acknowledged and documented Specialist McGinty's concern over the reliability of the record evidence, which led to his requirement that Applicant identify independent third-party verification of the scientific data as noted in the Supplemental Interview Summary. With those standards and guidelines in mind, Applicant presented in copending applications a summary of the scientific data supporting lower energy states of hydrogen generated and furnished by independent third parties, which is reproduced below along with additional, newly submitted data.<sup>107</sup>

**Experimental Evidence Generated by Independent Third Parties**

Applicant is unaware of any statutes, rules, or case law requiring that experimental evidence submitted by an Applicant in response to a rejection by the PTO be generated by independent third parties. Despite the higher standard imposed by Specialist McGinty requiring such third-party validation of the evidence, Applicant still has met and far exceeded this standard as shown below.

Applicant provides the following alphabetical list of independent third-party laboratories and universities that conducted the experiments and generated the scientific data relied upon and discussed in the 47 analytical studies that follow this list:

Advanced Research - Pirelli Labs, Milan, Italy

Aero Propulsion and Power Directorate, Wright Laboratory, Air Force Material Command (ASC), Wright-Patterson Air Force Base

Atomic Energy Canada Limited, Chalk River Laboratories

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<sup>107</sup> See, for example, U.S. Serial Nos. 09/110,678 and 09/362,693.

Brookhaven National Laboratory

Charles Evans & Associates, Sunnyvale, CA

Charles Evans East, East Windsor, NJ

Environmental Catalysis and Materials Laboratory of Virginia Polytechnic Institute

Franklin and Marshall College

Galbraith Laboratories, Inc., Knoxville, TN

Grace Davison, Columbia, MD

IC Laboratories, Amawalk, NY

Idaho National Engineering Laboratory

Institut für Niedertemperatur-Plasmaphysik e.V. (INP Greifswald, Germany)

Jobin Yvon Inc., Edison, NJ

Laboratory for Electrochemistry of Renewed Electrode-Solution Interface  
(LEPGER)

Liebert Corporation, Division of Emerson Corporation

Los Alamos National Laboratory

Material Testing Laboratory, Pennington, NJ

MIT Lincoln Laboratories

Moscow Power Engineering Institute

NASA Lewis

National Research Council of Canada

PacifiCorp

Pennsylvania State University Chemical Engineering Department

Perkin-Elmer Biosystems, Framingham, MA

Pirelli Labs, Milan, Italy

Ricerca, Inc., Painesville, Ohio

Rider University, Lawrenceville NJ

Rowan University Professors A. J. Marchese, P. M. Jansson, J. L. Schmalzel

Ruhr University, Bochum, Germany

Shrader Analytical & Consulting Laboratories

Spectral Data Services, Inc., Champaign, IL

S. S. W., University of Western Ontario, Canada

Surface Science Laboratories, Mountain View, CA

Thermacore, Inc., Lancaster, PA

University of Delaware, Wilmington, DE

University of Massachusetts Amherst, Amherst, MA

University of New Mexico

Westinghouse Electric Corporation

Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University,  
Bethlehem, PA

The following 47 abstracts briefly describe the analytical studies of the scientific data generated by these independent third parties (highlighted in underline).

## **Independent Test Results**

47. **R. L. Mills, P. Ray, M. Nansteel, J. He, X. Chen, A. Voigt, B. Dhandapani, Luca Gamberale, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source", European Physical Journal D, submitted.**

Luca Gamberale of the Advanced Research - Pirelli Labs, Milan, Italy performed verification studies as a visiting researcher at BlackLight Power, Cranbury, NJ. The prior reported results of BlackLight Power, Inc. of a chemically generated hydrogen plasma,

extraordinarily broadened atomic hydrogen lines, lower-energy atomic, molecular, and molecular-ion hydrogen lines, the isolation and characterization of lower-energy molecular hydrogen gas, and excess power measured by water bath calorimetry were replicated. Specifically, plasmas of certain catalysts such as  $Sr^+$ ,  $Ar^+$ ,  $Ne^+$ , and  $He^+$  mixed with hydrogen were studied for evidence of a novel energetic reaction. A hydrogen plasma was observed to form at low temperatures (e.g.  $\approx 10^3 K$ ) and an extraordinary low field strength of about 1-2 V/cm when argon and strontium were present with atomic hydrogen. RF and microwave plasmas were used to generate  $He^+$ ,  $Ne^+$ , and  $Ar^+$  catalysts. Extraordinarily fast H (40-50 eV) was observed by Balmer  $\alpha$  line broadening only from plasmas having a catalyst with H. Novel extreme ultraviolet (EUV) emission lines were observed that corresponded to a Rydberg series of H corresponding to fractional principal quantum numbers wherein  $n = \frac{1}{2}, \frac{1}{3}, \frac{1}{4}, \dots, \frac{1}{p}$ ; ( $p \leq 137$  is an integer) replaces the well known parameter  $n = \text{integer}$  in the Rydberg equation for hydrogen excited states. Corresponding emission due to fraction-principal-quantum-level hydrogen molecular ion  $H_2^+(1/p)$  and molecular hydrogen  $H_2(1/p)$  were also observed.  $H_2(1/p)$  gas was isolated by liquefaction using an high-vacuum ( $10^{-6}$  Torr) capable, liquid nitrogen cryotrap and was characterized by gas chromatography (GC), mass spectroscopy (MS), visible and EUV optical emission spectroscopy (OES), and  $^1H$  NMR of the condensable gas dissolved in  $CDCl_3$  performed at Rider University, Lawrenceville NJ. Novel peaks were observed by cryogenic gas chromatography performed on the condensable gas which was highly pure hydrogen by MS and had a higher ionization energy than  $H_2$ . A unique EUV emission spectrum was observed by OES. The observation that the novel EUV emission spectrum shifted with deuterium substitution in a region where no hydrogen emission has ever been observed strongly supported the existence of lower-energy molecular hydrogen. Contaminants and exotic helium-hydrogen species were eliminated as the source of the reaction and condensed gas plasma emission spectra. Upfield shifted NMR peaks were observed at 3.22, 3.25, and 3.47 ppm compared to that of  $H_2$  at 4.63 ppm. Excess power was absolutely measured from the helium-hydrogen plasma. For an input of 44.3 W, the total plasma power of the helium-hydrogen plasma measured by water bath calorimetry was 62.9 W corresponding to 18.6 W of excess power in  $3 cm^3$ . The excess power density and energy balance were high,  $6.2 W/cm^3$  and  $-5 \times 10^4 kJ/mole H_2$  ( $240 eV/H atom$ ), respectively.

46. **R. Mills, B. Dhandapani, M. Nansteel, J. He, P. Ray, "Liquid-Nitrogen-Condensable Molecular Hydrogen Gas Isolated from a Catalytic Plasma Reaction", J. Phys. Chem. B, submitted.**

Extreme ultraviolet (EUV) spectroscopy was recorded on microwave discharges of helium with 2% hydrogen. Novel emission lines were observed with energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 4, 6, 7, 8, 9, 11$  or these discrete energies less  $21.2 \text{ eV}$  corresponding to inelastic scattering of these photons by helium atoms due to excitation of  $\text{He}(1s^2)$  to  $\text{He}(1s^1 2p^1)$ . These lines matched  $H(1/p)$ , fractional Rydberg states of atomic hydrogen, formed by a resonant nonradiative energy transfer to  $\text{He}^+$ . Corresponding emission due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at  $E_{D+vib} = p^2 E_{D H_2} \pm \left(\frac{\nu^*}{3}\right) E_{vib H_2(\nu=0 \rightarrow \nu=1)}$ ,  $\nu^* = 1, 2, 3 \dots$

was observed at the longer wavelengths for  $\nu^* = 2$  to  $\nu^* = 32$  and at the shorter wavelengths for  $\nu^* = 1$  to  $\nu^* = 16$  where  $E_{D H_2}$  and  $E_{vib H_2(\nu=0 \rightarrow \nu=1)}$  are the experimental bond and vibrational energies of  $H_2$ , respectively. Fraction-principal-quantum-level molecular hydrogen  $H_2(1/p)$  gas was isolated by liquefaction using an high-vacuum ( $10^{-6}$  torr) capable, liquid nitrogen cryotrap and was characterized by gas chromatography (GC), mass spectroscopy (MS), visible and EUV optical emission spectroscopy (OES), and  $^1\text{H}$  NMR of the condensable gas dissolved in  $\text{CDCl}_3$  performed at Rider University, Lawrenceville NJ.

Novel peaks were observed by cryogenic gas chromatography performed on the condensable gas which was highly pure hydrogen by MS and had a higher ionization energy than  $H_2$ . A unique EUV emission spectrum was observed by OES. The observation that the novel EUV emission spectrum shifted with deuterium substitution in a region where no hydrogen emission has ever been observed unequivocally confirmed the existence of lower-energy molecular hydrogen. Contaminants and exotic helium-hydrogen species were eliminated as the source of the reaction and condensed gas plasma emission spectra. Upfield shifted NMR peaks were observed at 3.22 and 3.47 ppm compared to that of  $H_2$  at 4.63 ppm. A theoretical rocketry propellant reaction is given that may be transformational.

45. **Dr. K.D. Keefer, Report on BlackLight Power Technology: Its Apparent Scientific Basis, State of Development and Stability for Commercialization by Liebert Corporation, (2001), and, Report on BlackLight Power Technology: Its Apparent Scientific Basis, State of Development and Stability for Commercialization, (2002).**

To separate reports disclosing the results of NMR, ToF-SIMS, XPS identification of novel hydrido hydride compounds and analysis of chemically-produced plasma by an expert hired by the Liebert Corporation, a division of the well-known and highly-respected Emerson

Corporation. According to the expert's own words, he "observed demonstrations of the BlackLight Power (BLP) process and ...reached the inescapable conclusion that it is based on extraordinary chemical reactions that seem to release extraordinary amounts of energy.... It is [his] professional opinion that the BLP process represents a chemical conversion of atomic hydrogen unlike any previously reported [in] the archival scientific literature." Although the expert states that he was skeptical of Applicant's theory, he admitted that the chemical and plasma data did support Applicant's fractional quantum states and that he could offer no other explanation of the data using conventional quantum theory.

**44. A. J. Marchese, P. M. Jansson, J. L. Schmalzel, "The BlackLight Rocket Engine", Phase I Final Report, NASA Institute for Advanced Concepts Phase I, May 1-November 30, 2002,**

**[http://www.niac.usra.edu/files/studies/final\\_report/pdf/752Marchese.pdf](http://www.niac.usra.edu/files/studies/final_report/pdf/752Marchese.pdf).**

Rowan University Professors A. J. Marchese, P. M. Jansson, J. L. Schmalzel performed verification studies as visiting researchers at BlackLight Power, Cranbury, NJ. The prior reported results of BlackLight Power, Inc. of extraordinarily broadened atomic hydrogen lines, population inversion, lower-energy hydrogen lines, and excess power measured by water bath calorimetry were replicated. The application of the energetic hydrogen to propulsion was studied.

Specifically, the data supporting hydrinos was replicated. See

i.) BlackLight Process Theory (pp. 10-12) which gives the theoretical energy levels for hydrinos and the catalytic reaction to form hydrinos,

ii.) Unique Hydrogen Line Broadening in Low Pressure Microwave Water Plasmas (pp. 25-27, particularly Fig. 21) which shows that in the same microwave cavity driven at the same power, the temperature of the hydrogen atoms in the microwave plasma where the hydrino reaction was active was 50 times that of the control based on the spectroscopic line widths,

iii.) Inversion of the Line Intensities in Hydrogen Balmer Series (pp. 27-28, particularly Fig. 22) which shows for the first time in 40 years of intensive worldwide research that atomic hydrogen population inversion was achieved in a steady state plasma and supports the high power released from the reaction of hydrogen to form hydrinos,

iv.) Novel Vacuum Ultraviolet (VUV) Vibration Spectra of Hydrogen Mixture Plasmas (pp. 28-29, particularly Fig. 23) which shows a novel vibrational series of lines in a helium-hydrogen plasmas at energies higher than any known vibrational series and it identically



matches the theoretical prediction of 2 squared times the corresponding vibration of the ordinary hydrogen species, and

v.) Water Bath Calorimetry Experiments Showing Increased Heat Generation (pp. 29-30, particularly Fig. 25) that shows that with exactly the same system and same input power, the heating of the water reservoir absolutely measured to 1% accuracy was equivalent to 55 to 62 W with the catalyst-hydrogen mixture compared to 40 W in the control without the possibility of the reaction to form hydrinos.

**43. J. Phillips, R. L. Mills, X. Chen, "Water Bath Calorimetric Study of Excess Heat in 'Resonance Transfer' Plasmas", Journal of Applied Physics, submitted.**

J. Phillips, Distinguished National Laboratory Professor at Los Alamos National Laboratory and University of New Mexico, performed verification studies as a visiting researcher at BlackLight Power, Cranbury, NJ. Water bath calorimetry was used to demonstrate one more peculiar phenomenon associated with a certain class of mixed gas plasmas termed resonant transfer, or rt-plasmas. Specifically,  $He/H_2(10\%)$  (500 mTorr),  $Ar/H_2(10\%)$  (500 mTorr), and  $H_2O(g)$  (200 mTorr) plasmas generated with an Evenson microwave cavity consistently yielded on the order of 50% more heat than non rt-plasma (controls) such as  $He$ ,  $Kr$ ,  $Kr/H_2(10\%)$ , under identical conditions of gas flow, pressure, and microwave operating conditions. The excess power density of rt-plasmas was of the order  $10 W \cdot cm^{-3}$ . In earlier studies with these same rt-plasmas it was demonstrated that other unusual features were present including dramatic broadening of the hydrogen Balmer series lines, unique vacuum ultraviolet (VUV) lines, and in the case of water plasmas, population inversion of the hydrogen excited states. Both the current results and the earlier results are completely consistent with the existence of a hitherto unknown exothermic chemical reaction, such as that predicted by Mills, occurring in rt-plasmas.

**42. R. L. Mills, P. C. Ray, R. M. Mayo, M. Nansteel, B. Dhandapani, J. Phillips, "Spectroscopic Study of Unique Line Broadening and Inversion in Low Pressure Microwave Generated Water Plasmas", Physics of Plasmas, submitted.**

J. Phillips, Distinguished National Laboratory Professor at Los Alamos National Laboratory and University of New Mexico, performed verification studies as a visiting researcher at BlackLight Power, Cranbury, NJ. It was demonstrated that low pressure ( $\sim 0.2$  Torr) water vapor plasmas generated in a 10 mm ID quartz tube with an Evenson microwave cavity show at least two features which are not explained by conventional plasma models. First, significant ( $> 2.5 \text{ \AA}$ ) hydrogen Balmer  $\alpha$  line broadening was recorded, of constant

width, up to 5 cm from the microwave coupler. Only hydrogen, and not oxygen, showed significant line broadening. This feature, observed previously in hydrogen-containing mixed gas plasmas generated with high voltage DC and RF discharges was explained by some researchers to result from acceleration of hydrogen ions near the cathode. This explanation cannot apply to the line broadening observed in the (electrodeless) microwave plasmas generated in this work, particularly at distances as great as 5 cm from the microwave coupler. Second, dramatic inversion of the line intensities of both the Lyman and Balmer series, again, at distances up to 5 cm from the coupler were observed. The dramatic line inversion suggests the existence of a hitherto unknown source of pumping of the optical power in plasmas. Finally, it is notable that other aspects of the plasma including the  $OH^*$  rotational temperature and low electron concentrations are quite typical of plasmas of this type.

41. **H. Conrads, R. Mills, Th. Wrubel, "Emission in the Deep Vacuum Ultraviolet from a Plasma Formed by Incandescently Heating Hydrogen Gas with Trace Amounts of Potassium Carbonate", Plasma Sources Science and Technology, Vol. 12, (2003), pp. 389-395.**

The generation of a hydrogen plasma with intense extreme ultraviolet and visible emission was observed at Ruhr University, Bochum, Germany from low pressure hydrogen gas (0.1-1 mbar) in contact with a hot tungsten filament only when the filament heated a titanium dissociator coated with  $K_2CO_3$  above 750°C. The dissociator was electrically floated, and the electric field strength from the filament was about 1 V/cm, two orders of magnitude lower than the starting voltages measured for gas glow discharges. The emission of the  $H_\alpha$  and  $H_\beta$  transitions as well as the  $L_\alpha$  and  $L_\beta$  transitions were recorded and analyzed. The plasma seemed to be far from thermal equilibrium, and no conventional mechanism was found to explain the formation of a hydrogen plasma by incandescently heating hydrogen gas with the presence of trace amounts of  $K_2CO_3$ . The temporal behavior of the plasma was recorded via hydrogen Balmer alpha line emission when all power into the cell was terminated. A two second decay of the plasma was observed after a fast decay of the electric field to zero. The plasma was found to be dependent on the chemistry of atomic hydrogen with potassium since no plasma formed with  $Na_2CO_3$  replacing  $K_2CO_3$  and the time constant of the emission following the removal of all of the power to the cell matched that of the cooling of the filament and the resulting shift from atomic to molecular hydrogen. Our results indicate that a novel chemical power source is present that forms the energetic hydrogen plasma. The plasma is a potential new light source.

40. R. Mills, "Observation of Extreme Ultraviolet Emission from Hydrogen-KI Plasmas Produced by a Hollow Cathode Discharge", *Int. J. Hydrogen Energy*, Vol. 26, No. 6, (2001), pp. 579-592.

A high voltage discharge of hydrogen with and without the presence of a source of potassium, potassium iodide, in the discharge was performed at Institut für Niedertemperatur-Plasmaphysik e.V. (INP Greifswald, Germany) with a hollow cathode. It has been reported that intense extreme ultraviolet (EUV) emission was observed at low temperatures (e.g.  $< 10^3 K$ ) from atomic hydrogen and certain atomized elements or certain gaseous ions which ionize at integer multiples of the potential energy of atomic hydrogen,  $27.2 eV$  [1, 3-5]. Two potassium ions or a potassium atom may each provide an electron ionization or transfer reaction that has a net enthalpy equal to an integer multiple of  $27.2 eV$ . The spectral lines of atomic hydrogen were intense enough to be recorded on photographic films only when *KI* was present. EUV lines not assignable to potassium, iodine, or hydrogen were observed at 73.0, 132.6, 513.6, 677.8, 885.9, and 1032.9 Å. The lines are assigned to transitions of atomic hydrogen to lower energy levels corresponding to lower energy hydrogen atoms called hydrino atoms and the emission from the excitation of the corresponding hydride ions formed from the hydrino atoms.

39. R. Mills, "Temporal Behavior of Light-Emission in the Visible Spectral Range from a  $Ti-K_2CO_3$ -H-Cell", *Int. J. Hydrogen Energy*, Vol. 26, No. 4, (2001), pp. 327-332.

Institut für Niedertemperatur-Plasmaphysik e.V. (INP Greifswald, Germany) reports the generation of a hydrogen plasma and extreme ultraviolet emission as recorded via the hydrogen Balmer emission in the visible range. Typically a hydrogen plasma is generated and the emission of extreme ultraviolet light from hydrogen gas is achieved via a discharge at high voltage, a high power inductively coupled plasma, or a plasma created and heated to extreme temperatures by RF coupling (e.g.  $> 10^6 K$ ) with confinement provided by a toroidal magnetic field. The observed plasma formed at low temperatures (e.g.  $\approx 10^3 K$ ) from atomic hydrogen generated at a tungsten filament that heated a titanium dissociator coated with potassium carbonate. The temporal behavior of the plasma was recorded via hydrogen Balmer alpha line emission when all power into the cell was terminated. A two second decay of the plasma was observed after a fast decay of the electric field to zero. The persistence of emission following the removal of all of the power to the cell indicates that a novel chemical power source is present that forms an energetic plasma in hydrogen. No unusual behavior was observed with the control sodium carbonate.

**38. R. Mills, J. Sankar, P. Ray, J. He, A. Voigt, B. Dhandapani, "Synthesis and Characterization of Diamond Films from MPCVD of an Energetic Argon-Hydrogen Plasma and Methane ", J. of Materials Research, submitted.**

Polycrystalline diamond films were synthesized on silicon substrates by a low power (~80 W) microwave plasma chemical vapor deposition (MPCVD) reaction of a mixture of argon-hydrogen-methane (17.5/80/2.5%). The films were characterized by time of flight secondary ion mass spectroscopy (ToF-SIMS), X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), Raman spectroscopy (Charles Evans & Associates, Sunnyvale, CA), scanning electron microscopy (SEM) (S. S. W., University of Western Ontario, Canada), and X-ray diffraction (XRD) (IC Laboratories, Amawalk, NY). It is proposed that  $Ar^+$  served as a catalyst with atomic hydrogen to form an energetic plasma.  $CH$ ,  $C_2$ , and  $C_3$  emissions were observed with significantly broadened H  $\alpha$  line. The average hydrogen atom temperature of a argon-hydrogen plasma was measured to be 110–130 eV versus  $\approx 3$  eV for pure hydrogen. Bombardment of the carbon surface by highly energetic hydrogen formed by the catalysis reaction may play a role in the formation of diamond. Then, by this novel pathway, the relevance of the CO tie line is eliminated along with other stringent conditions and complicated and inefficient techniques which limit broad application of the versatility and superiority of diamond thin film technology.

**37. R. Mills, P. Ray, B. Dhandapani, W. Good, P. Jansson, M. Nansteel, J. He, A. Voigt, "Spectroscopic and NMR Identification of Novel Hydride Ions in Fractional Quantum Energy States Formed by an Exothermic Reaction of Atomic Hydrogen with Certain Catalysts", J. Phys. Chem. A, submitted.**

$2K^+$  to  $K + K^{2+}$  and  $K$  to  $K^{3+}$  provide a reaction with a net enthalpy equal to the one and three times the potential energy of atomic hydrogen, respectively. The presence of these gaseous ions or atoms with thermally dissociated hydrogen formed a so-called resonance transfer (rt) plasma having strong VUV emission with a stationary inverted Lyman population. Significant line broadening of the Balmer  $\alpha$ ,  $\beta$ , and  $\gamma$  lines of 18 eV was observed, compared to 3 eV from a hydrogen microwave plasma. Emission from rt-plasmas occurred even when the electric field applied to the plasma was zero as recorded at Institut für Niedertemperatur-Plasmaphysik e.V. (INP Greifswald, Germany). The reaction was exothermic since excess power of  $20 \text{ mW} \cdot \text{cm}^{-3}$  was measured by Calvet calorimetry. An energetic catalytic reaction was proposed involving a resonant energy transfer between

hydrogen atoms and  $2K^+$  or  $K$  to form very stable novel hydride ions  $H^-(1/p)$  called hydrino hydrides having a fractional principal quantum numbers  $p = 2$  and  $p = 4$ , respectively. Characteristic emission was observed from  $K^{2+}$  and  $K^{3+}$  that confirmed the resonant nonradiative energy transfer of  $27.2 \text{ eV}$  and  $3 \cdot 27.2 \text{ eV}$  from atomic hydrogen to  $2K^+$  and  $K$ , respectively.

The predicted binding energy of  $H^-(1/2)$  of  $3.0471 \text{ eV}$  with the fine structure was observed at  $4071 \text{ \AA}$ , and its predicted bound-free hyperfine structure lines  $E_{HF} = j^2 3.00213 \times 10^{-5} + 3.0563 \text{ eV}$  ( $j$  is an integer) matched those observed for  $j = 1$  to  $j = 37$  to within a 1 part per  $10^4$ .  $H^-(1/4)$  was observed spectroscopically at  $110 \text{ nm}$  corresponding to its predicted binding energy of  $11.2 \text{ eV}$ . The  $^1\text{H}$  MAS NMR spectrum (Spectral Data Services, Inc., Champaign, IL) of novel compound  $KH^*Cl$  relative to external tetramethylsilane (TMS) showed a large distinct upfield resonance at  $-4.4$  corresponding to an absolute resonance shift of  $-35.9 \text{ ppm}$  that matched the theoretical prediction of  $p = 4$ . A novel NMR (Grace Davison, Columbia, MD and Spectral Data Services, Inc., Champaign, IL) peak of  $KH^*I$  at  $-1.5 \text{ ppm}$  relative to TMS corresponding to an absolute resonance shift of  $-33.0 \text{ ppm}$  matched the theoretical prediction of  $p = 2$ . The predicted catalyst reactions, position of the upfield-shifted NMR peaks, and spectroscopic data for  $H^-(1/2)$  and  $H^-(1/4)$  were found to be in agreement.

**36. R. L. Mills, P. Ray, B. Dhandapani, J. He, "Novel Liquid-Nitrogen-Condensable Molecular Hydrogen Gas", Polish Journal of Chemistry, submitted.**

Extreme ultraviolet (EUV) spectroscopy was recorded on microwave discharges of helium with 2% hydrogen. Novel emission lines were observed with energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 4, 6, 7, 8, 9, 11$  or these discrete energies less  $21.2 \text{ eV}$  corresponding to inelastic scattering of these photons by helium atoms due to excitation of  $He(1s^2)$  to  $He(1s^1 2p^1)$ . These lines matched  $H(1/p)$ , fractional Rydberg states of atomic hydrogen, formed by a resonant nonradiative energy transfer to  $He^+$ . Corresponding emission due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at  $E_{D+vib} = p^2 E_{D H_2} \pm \left(\frac{\nu^*}{3}\right) E_{vib H_2(\nu=0 \rightarrow \nu=1)}$ ,  $\nu^* = 1, 2, 3, \dots$  was observed at the longer wavelengths for  $\nu^* = 2$  to  $\nu^* = 32$  and at the shorter wavelengths for  $\nu^* = 1$  to  $\nu^* = 16$  where  $E_{D H_2}$  and  $E_{vib H_2(\nu=0 \rightarrow \nu=1)}$  are the experimental bond and vibrational energies of  $H_2$ , respectively. Fractional-principal-quantum-level molecular hydrogen  $H_2(1/p)$  gas was isolated by liquefaction using an ultrahigh-vacuum, liquid nitrogen cryotrap and was characterized by gas chromatography (GC), mass spectroscopy (MS), optical emission spectroscopy (OES), and  $^1\text{H}$  NMR (Rider University, Lawrenceville NJ) of

the condensable gas dissolved in  $CDCl_3$ . The condensable gas was highly pure hydrogen by GC and MS and had a higher ionization energy than  $H_2$ . An upfield shifted NMR peak was observed at 3.25 ppm compared to that of  $H_2$  at 4.63 ppm. A theoretical rocketry propellant reaction is given that may be transformational.

**35. R. L. Mills, J. Sankar, A. Voigt, J. He, B. Dhandapani, "Spectroscopic Characterization of the Atomic Hydrogen Energies and Densities and Carbon Species During Helium-Hydrogen-Methane Plasma CVD Synthesis of Single Crystal Diamond Films", Chemistry of Materials, Vol. 15, (2003), pp. 1313-1321.**

Polycrystalline diamond films were synthesized on silicon substrates for the first time without diamond seeding by a very low power (38 W) microwave plasma continuous vapor deposition (MPCVD) reaction of a mixture of helium-hydrogen-methane (48.2/48.2/3.6%). The films were characterized by time of flight secondary ion mass spectroscopy (ToF-SIMS), X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), Raman spectroscopy (Charles Evans & Associates, Sunnyvale, CA and Jobin Yvon Inc., Edison, NJ), scanning electron microscopy (SEM) (S. S. W., University of Western Ontario, Canada and Material Testing Laboratory, Pennington, NJ), and X-ray diffraction (XRD) (IC Laboratories, Amawalk, NY). It is proposed that  $He^+$  served as a catalyst with atomic hydrogen to form an energetic plasma.  $CH$ ,  $C_2$ , and  $C_3$  emissions were observed with significantly broadened  $H \alpha$ ,  $\beta$ ,  $\gamma$ , and  $\delta$  lines. The average hydrogen atom temperature of a helium-hydrogen-methane plasma was measured to be 120 - 140 eV versus  $\approx 3$  eV for pure hydrogen. Bombardment of the carbon surface by highly energetic hydrogen formed by the catalysis reaction may play a role in the formation of diamond. Then, by this novel pathway, the relevance of the CO tie line is eliminated along with other stringent conditions and complicated and inefficient techniques which limit broad application of the versatility and superiority of diamond thin film technology.

**34. R. L. Mills, J. Sankar, A. Voigt, J. He, B. Dhandapani, "Low Power MPCVD of Diamond Films on Silicon Substrates", Journal of Vacuum Science & Technology A, submitted.**

Polycrystalline diamond films were synthesized on silicon substrates for the first time without diamond seeding by a very low power (38 W) microwave plasma continuous vapor deposition (MPCVD) reaction of a mixture of 10-30% hydrogen, 90-70% helium, and 1-10%  $CH_4$ . The films were characterized by time of flight secondary ion mass spectroscopy (ToF-SIMS), X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for Surface Studies,

Sinclair Laboratory, Lehigh University, Bethlehem, PA), Raman spectroscopy (Charles Evans & Associates, Sunnyvale, CA), scanning electron microscopy (SEM) (S. S. W., University of Western Ontario, Canada and Material Testing Laboratory, Pennington, NJ), and X-ray diffraction (XRD) (IC Laboratories, Amawalk, NY). It is proposed that  $He^+$  served as a catalyst with atomic hydrogen to form an energetic plasma. The average hydrogen atom temperature was measured to be 180-210 eV versus  $\approx 3$  eV for pure hydrogen. The electron temperature  $T_e$  for helium-hydrogen was 28,000 K compared to 6800 K for pure helium. Bombardment of the carbon surface by highly energetic hydrogen formed by the catalysis reaction may play a role in the formation of diamond. Then, by this novel pathway, the relevance of the CO tie line is eliminated along with other stringent conditions and complicated and inefficient techniques which limit broad application of the versatility and superiority of diamond thin film technology.

**33. R. L. Mills, A. Voigt, B. Dhandapani, J. He, "Synthesis and Spectroscopic Identification of Lithium Chloro Hydride", Materials Characterization, submitted.**

A novel inorganic hydride compound, lithium chloro hydride ( $LiHCl$ ), which comprises a high binding energy hydride ion was synthesized by reaction of atomic hydrogen with potassium metal and lithium chloride. Lithium chloro hydride was identified by time of flight secondary ion mass spectroscopy, X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA),  $^1H$  nuclear magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL), and powder X-ray diffraction (IC Laboratories, Amawalk, NY). Hydride ions with increased binding energies may form many novel compounds with broad applications such as the oxidant of a high voltage battery.

**32. R. L. Mills, B. Dhandapani, J. He, "Highly Stable Amorphous Silicon Hydride", Solar Energy Materials & Solar Cells, in press.**

A novel highly stable hydrogen terminated silicon coating was synthesized by microwave plasma reaction of mixture of silane, hydrogen, and helium wherein it is proposed that  $He^+$  served as a catalyst with atomic hydrogen to form highly stable silicon hydrides. Novel silicon hydride was identified by time of flight secondary ion mass spectroscopy and X-ray photoelectron spectroscopy. The time of flight secondary ion mass spectroscopy (ToF-SIMS) identified the coatings as hydride by the large  $SiH^+$  peak in the positive spectrum and the dominant  $H^-$  in the negative spectrum. Since hydrogen is the only element with no primary element peaks, X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for

Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA) identified the  $H$  content of the  $SiH$  coatings as comprising novel silicon hydrides due to new peaks at 11, 43, and 55 eV in the absence of corresponding peaks of any candidate element at higher binding energies. The silicon hydride surface was remarkably stable to air as shown by XPS. The highly stable amorphous silicon hydride coating may advance the production of integrated circuits and microdevices by resisting the oxygen passivation of the surface and possibly altering the dielectric constant and band gap to increase device performance.

**31. R. L. Mills, J. Sankar, A. Voigt, J. He, B. Dhandapani, "Synthesis of HDLC Films from Solid Carbon", Thin Solid Films, submitted.**

Diamond-like carbon (DLC) films were synthesized on silicon substrates from solid carbon by a very low power ( $\sim 60$  W) microwave plasma chemical vapor deposition (MPCVD) reaction of a mixture of 90-70% helium and 10-30% hydrogen. It is proposed that  $He^+$  served as a catalyst with atomic hydrogen to form an energetic plasma. The average hydrogen atom temperature of a helium-hydrogen plasma was measured to be 180-210 eV versus  $\approx 3$  eV for pure hydrogen. Bombardment of the carbon surface by highly energetic hydrogen formed by the catalysis reaction may play a role in the formation of DLC. The films were characterized by time of flight secondary ion mass spectroscopy (ToF-SIMS), X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), and Raman spectroscopy (Charles Evans & Associates, Sunnyvale, CA). TOF-SIMS identified the coatings as hydride by the large  $H^+$  peak in the positive spectrum and the dominant  $H^-$  in the negative spectrum. The XPS identification of the  $H$  content of the  $CH$  coatings as a novel hydride corresponding to a peak at 49 eV has implications that the mechanism of the DLC formation may also involve one or both of selective etching of graphitic carbon and the stabilization of  $sp^3$ -bonded carbon by the hydrogen catalysis product. Thus, a novel  $H$  intermediate formed by the plasma catalysis reaction may enhance the stabilization and etching role of  $H$  used in past methods.

**30. R. L. Mills, J. He, P. Ray, B. Dhandapani, X. Chen, "Synthesis and Characterization of a Highly Stable Amorphous Silicon Hydride as the Product of a Catalytic Helium-Hydrogen Plasma Reaction", Int. J. Hydrogen Energy, in press.**

A novel highly stable surface coating  $SiH(1/p)$  which comprised high binding energy hydride ions was synthesized by a microwave plasma reaction of a mixture of silane, hydrogen, and helium wherein it is proposed that  $He^+$  served as a catalyst with atomic



hydrogen to form the highly stable hydride ions. Novel silicon hydride was identified by time of flight secondary ion mass spectroscopy and X-ray photoelectron spectroscopy. The time of flight secondary ion mass spectroscopy (ToF-SIMS) identified the coatings as hydride by the large  $SiH^+$  peak in the positive spectrum and the dominant  $H^-$  in the negative spectrum. X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA) identified the  $H$  content of the  $SiH$  coatings as hydride ions,  $H^-(1/4)$ ,  $H^-(1/9)$ , and  $H^-(1/11)$  corresponding to peaks at 11, 43, and 55 eV, respectively. The silicon hydride surface was remarkably stable to air as shown by XPS. The highly stable amorphous silicon hydride coating may advance the production of integrated circuits and microdevices by resisting the oxygen passivation of the surface and possibly altering the dielectric constant and band gap to increase device performance.

The plasma which formed  $SiH(1/p)$  showed a number of extraordinary features. Novel emission lines with energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 4, 6, 7, 8, 9, \text{ or } 11$  were previously observed by extreme ultraviolet (EUV) spectroscopy recorded on microwave discharges of helium with 2% hydrogen [R. Mills, P. Ray, "Spectral Emission of Fractional Quantum Energy Levels of Atomic Hydrogen from a Helium-Hydrogen Plasma and the Implications for Dark Matter", Int. J. Hydrogen Energy, Vol. 27, No. 3, pp. 301-322]. These lines matched  $H(1/p)$ , fractional Rydberg states of atomic hydrogen where  $p$  is an integer, formed by a resonant nonradiative energy transfer to  $He^+$  acting as a catalyst. The average hydrogen atom temperature of the helium-hydrogen plasma was measured to be 180-210 eV versus  $\approx 3 \text{ eV}$  for pure hydrogen. Using water bath calorimetry, excess power was observed from the helium-hydrogen plasma compared to control krypton plasma. For example, for an input of 8.1 W, the total plasma power of the helium-hydrogen plasma measured by water bath calorimetry was 30.0 W corresponding to 21.9 W of excess power in  $3 \text{ cm}^3$ . The excess power density and energy balance were high,  $7.3 \text{ W/cm}^3$  and  $-2.9 \times 10^4 \text{ kJ/mole } H_2$ , respectively. This catalytic plasma reaction may represent a new hydrogen energy source and a new field of hydrogen chemistry.

**29. R. L. Mills, A. Voigt, B. Dhandapani, J. He, "Synthesis and Characterization of Lithium Chloro Hydride", Int. J. Hydrogen Energy, submitted.**

A novel inorganic hydride compound lithium chloro hydride,  $LiHCl$ , which comprises a high binding energy hydride ion was synthesized by reaction of atomic hydrogen with potassium metal and lithium chloride. Lithium chloro hydride was identified by time of flight secondary ion mass spectroscopy, X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA),  $^1H$  nuclear

magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL), and powder X-ray diffraction (IC Laboratories, Amawalk, NY). Hydride ions with increased binding energies may form many novel compounds with broad applications such as the oxidant of a high voltage battery.

**28. R. Mills, E. Dayalan, P. Ray, B. Dhandapani, J. He, "Highly Stable Novel Inorganic Hydrides from Aqueous Electrolysis and Plasma Electrolysis", *Electrochimica Acta*, Vol. 47, No. 24, (2002), pp. 3909-3926.**

After  $10^4$  hours of continuous aqueous electrolysis with  $K_2CO_3$  as the electrolyte, highly stable novel inorganic hydride compounds such as  $KH$  and  $KHCO_3$  were isolated and identified by time of flight secondary ion mass spectroscopy (ToF-SIMS) (Charles Evans East, East Windsor, NJ). The existence of novel hydride ions was determined using X-ray photoelectron spectroscopy (XPS) (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA) and solid state magic-angle spinning  $^1H$  nuclear magnetic resonance spectroscopy ( $^1H$  MAS NMR) (Spectral Data Services, Inc., Champaign, IL). A novel ion formed by plasma electrolysis of a  $K_2CO_3$ ,  $Rb_2CO_3$ , or  $Cs_2CO_3$  electrolyte was also observed by high resolution visible spectroscopy at 407.0 nm corresponding to its predicted binding energy of 3.05 eV.

**27. R. Mills, B. Dhandapani, M. Nansteel, J. He, A. Voigt, "Identification of Compounds Containing Novel Hydride Ions by Nuclear Magnetic Resonance Spectroscopy", *Int. J. Hydrogen Energy*, Vol. 26, No. 9, Sept. (2001), pp. 965-979.**

Novel inorganic alkali and alkaline earth hydrides of the formula  $MH^*$ ,  $MH_2^*$ , and  $MH^*X$  wherein  $M$  is the metal,  $X$ , is a halide, and  $H^*$  comprises a novel high binding energy hydride ion were synthesized in a high temperature gas cell by reaction of atomic hydrogen with a catalyst and  $MH$ ,  $MH_2$ , or  $MX$  corresponding to an alkali metal or alkaline earth metal compound, respectively. Novel hydride ions of the corresponding novel hydride compounds were characterized by an extraordinary upfield shifted peak observed by  $^1H$  nuclear magnetic resonance spectroscopy. The result were confirmed on five different instruments at five independent laboratories (Spectral Data Services, Inc., Champaign, IL, National Research Council of Canada, University of Massachusetts Amherst, Amherst, MA, University of Delaware, Wilmington, DE, and Grace Davison, Columbia, MD).

26. R. Mills, B. Dhandapani, N. Greenig, J. He, "Synthesis and Characterization of Potassium Iodo Hydride", *Int. J. of Hydrogen Energy*, Vol. 25, Issue 12, December, (2000), pp. 1185-1203.

A novel inorganic hydride compound *KHI* which comprises a high binding energy hydride ion was synthesized by reaction of atomic hydrogen with potassium metal and potassium iodide. Potassium iodo hydride was identified by time of flight secondary ion mass spectroscopy, X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA),  $^1\text{H}$  and  $^{39}\text{K}$  nuclear magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL), Fourier transform infrared spectroscopy (Surface Science Laboratories, Mountain View, CA), electrospray ionization time of flight mass spectroscopy (Perkin-Elmer Biosystems, Framingham, MA), liquid chromatography/mass spectroscopy (Ricerca, Inc., Painesville, Ohio), thermal decomposition with analysis by gas chromatography, and mass spectroscopy, and elemental analysis (Galbraith Laboratories, Inc., Knoxville, TN). Hydride ions with increased binding energies may form many novel compounds with broad applications.

25. R. Mills, "Novel Inorganic Hydride", *Int. J. of Hydrogen Energy*, Vol. 25, (2000), pp. 669-683.

A novel inorganic hydride compound  $\text{KHKHCO}_3$  which is stable in water and comprises a high binding energy hydride ion was isolated following the electrolysis of a  $\text{K}_2\text{CO}_3$  electrolyte. Inorganic hydride clusters  $\text{K}[\text{KHKHCO}_3]^+$  were identified by Time of Flight Secondary Ion Mass Spectroscopy (Charles Evans East, East Windsor, NJ). Moreover, the existence of a novel hydride ion has been determined using X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), and  $^1\text{H}$  nuclear magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL). Hydride ions with increased binding energies may be the basis of a high voltage battery for electric vehicles.

24. R. Mills, B. Dhandapani, M. Nansteel, J. He, T. Shannon, A. Echezuria, "Synthesis and Characterization of Novel Hydride Compounds", *Int. J. of Hydrogen Energy*, Vol. 26, No. 4, (2001), pp. 339-367.

Novel inorganic alkali and alkaline earth hydrides of the formula  $\text{MHX}$  and  $\text{MHMX}$  wherein  $M$  is the metal,  $X$ , is a singly negatively charged anion, and  $H$  comprises a novel high binding energy hydride ion were synthesized in a high temperature gas cell by reaction of atomic hydrogen with a catalyst and  $\text{MX}$  or  $\text{MX}_2$  corresponding to an alkali metal or

alkaline earth metal, respectively. It has been reported that intense extreme ultraviolet (EUV) emission was observed at low temperatures (e.g.  $\approx 10^3$  K) from atomic hydrogen and certain atomized elements or certain gaseous ions which ionize at integer multiples of the potential energy of atomic hydrogen, 27.2 eV [1-5]. These atomized elements or certain gaseous ions comprised the catalyst to form *MHX* and *MHMX*. For example, atomic hydrogen was reacted with strontium vapor and *SrBr<sub>2</sub>* to form *SrHBr*. Novel hydride compounds such as *SrHBr* were identified by time of flight secondary ion mass spectroscopy, X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), <sup>1</sup>H nuclear magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL), and thermal decomposition with analysis by gas chromatography, and mass spectroscopy. Hydride ions with increased binding energies form novel compounds with potential broad applications such as a high voltage battery for consumer electronics and electric vehicles. In addition, these novel compositions of matter and associated technologies may have far-reaching applications in many industries including chemical, electronics, computer, military, energy, and aerospace in the form of products such as propellants, solid fuels, surface coatings, structural materials, and chemical processes.

**23. R. Mills, "Highly Stable Novel Inorganic Hydrides", *Journal of New Materials for Electrochemical Systems*, Vol. 6, (2003), pp. 45-54.**

Novel inorganic hydride compounds *KHKHCO<sub>3</sub>* and *KH* were isolated following the electrolysis of a *K<sub>2</sub>CO<sub>3</sub>* electrolyte. The compounds which comprised high binding energy hydride ions were stable in water, and *KH* was stable at elevated temperature (600 °C). Inorganic hydride clusters  $K[KHKHCO_3]^+$  were identified by positive Time of Flight Secondary Ion Mass Spectroscopy (ToF-SIMS) of *KHKHCO<sub>3</sub>* (Charles Evans East, East Windsor, NJ). The negative ToF-SIMS was dominated by hydride ion. The positive and negative ToF-SIMS of *KH* showed essentially *K<sup>+</sup>* and *H<sup>-</sup>* only, respectively. Moreover, the existence of novel hydride ions was determined using X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), and <sup>1</sup>H nuclear magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL). Hydride ions with increased binding energies may be the basis of a high voltage battery for electric vehicles.

**22. R. Mills, "Novel Hydrogen Compounds from a Potassium Carbonate Electrolytic Cell", *Fusion Technology*, Vol. 37, No. 2, March, (2000), pp. 157-182.**

Novel compounds containing hydrogen in new hydride and polymeric states which demonstrate novel hydrogen chemistry have been isolated following the electrolysis of a  $K_2CO_3$  electrolyte with the production of excess energy. Inorganic hydride clusters  $K[KHKHCO_3]^+$  and hydrogen polymer ions such as  $OH_{23}^+$  and  $H_{16}^-$  were identified by time of flight secondary ion mass spectroscopy (Charles Evans East, East Windsor, NJ). The presence of compounds containing new states of hydrogen were confirmed by X-ray photoelectron spectroscopy (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA), X-ray diffraction, Fourier transform infrared spectroscopy (Surface Science Laboratories, Mountain View, CA), Raman spectroscopy (Environmental Catalysis and Materials Laboratory of Virginia Polytechnic Institute), and  $^1H$  nuclear magnetic resonance spectroscopy (Spectral Data Services, Inc., Champaign, IL).

**21. Mills, R., Good, W., "Fractional Quantum Energy Levels of Hydrogen", *Fusion Technology*, Vol. 28, No. 4, November, (1995), pp. 1697-1719.**

Determination of excess heat release during the electrolysis of aqueous potassium carbonate by the very accurate and reliable method of heat measurement, flow calorimetry; describes the experimental identification of hydrogen atoms in fractional quantum energy levels—hydrinos—by X-ray Photoelectron Spectroscopy (XPS) (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA); describes the experimental identification of hydrogen atoms in fractional quantum energy levels—hydrinos—by emissions of soft X-rays from dark matter; describes the experimental identification of hydrogen molecules in fractional quantum energy levels—dihydrino molecules by high resolution magnetic sector mass spectroscopy with ionization energy determination, and gives a summary.

In summary:

Excess power and heat were observed during the electrolysis of aqueous potassium carbonate. Flow calorimetry of pulsed current electrolysis of aqueous potassium carbonate at a nickel cathode was performed in a single-cell dewar. The average power out of 24.6 watts exceeded the average input power (voltage times current) of 4.73 watts by a factor greater than 5. The total input energy (integration of voltage times current) over the entire duration of the experiment was 5.72 MJ; whereas, the total output energy was 29.8 MJ. No excess heat was observed when the electrolyte was changed from potassium carbonate to sodium

carbonate. The source of heat is assigned to the electrocatalytic, exothermic reaction whereby the electrons of hydrogen atoms are induced to undergo transitions to quantized energy levels below the conventional "ground state". These lower energy states correspond to fractional quantum numbers:  $n = 1/2, 1/3, 1/4, \dots$ . Transitions to these lower energy states are stimulated in the presence of pairs of potassium ions ( $K^+/K^+$  electrocatalytic couple) which provide 27.2 eV energy sinks.

The identification of the  $n = 1/2$  hydrogen atom,  $H(n = 1/2)$  is reported. Samples of the nickel cathodes of aqueous potassium carbonate electrolytic cells and aqueous sodium carbonate electrolytic cells were analyzed by XPS (Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA). A broad peak centered at 54.6 eV was present only in the cases of the potassium carbonate cells. The binding energy (in vacuum) of  $H(n = 1/2)$  is 54.4 eV. Thus, the theoretical and measured binding energies for  $H(n = 1/2)$  are in excellent agreement.

Further experimental identification of hydrinos—down to  $H(n = 1/8)$ —can be found in the alternative explanation by Mills et al. for the soft X-ray emissions of the dark interstellar medium observed by Labov and Bowyer [Labov, S., Bowyer, S., "Spectral observations of the extreme ultraviolet background", *The Astrophysical Journal*, 371, (1991), pp. 810-819] of the Extreme UV Center of the University of California, Berkeley. The agreement between the experimental spectrum and the energy values predicted for the proposed transitions is remarkable.

The reaction product of two  $H(n=1/2)$  atoms, the dihydrino molecule, was identified by mass spectroscopy (Shrader Analytical & Consulting Laboratories). The mass spectrum of the cryofiltered gases evolved during the electrolysis of a light water  $K_2CO_3$  electrolyte with a nickel cathode demonstrated that the dihydrino molecule,  $H_2\left(n = \frac{1}{2}\right)$ , has a higher ionization energy, about 63 eV, than normal molecular hydrogen,  $H_2(n = 1)$ , 15.46 eV. The high resolution (0.001 AMU) magnetic sector mass spectroscopic analysis of the postcombustion gases indicated the presence of two peaks of nominal mass two-- one peak at 70 eV and one peak at 25 eV. The same analysis of molecular hydrogen indicates only one peak at 25 eV and one peak at 70 eV. In the case of the postcombustion sample at 70 eV, one peak was assigned as the hydrogen molecular ion peak,  $H_2^+(n = 1)$ , and one peak was assigned as the dihydrino molecular peak,  $H_2^+\left(n = \frac{1}{2}\right)$  which has a slightly larger magnetic moment.

**20. Mills, R., Good, W., Shaubach, R., "Dihydrino Molecule Identification", Fusion Technology, Vol. 25, 103 (1994).**

Calorimetry of pulsed current and continuous electrolysis of aqueous potassium carbonate ( $K^+/K^+$  electrocatalytic couple) at a nickel cathode was performed by Thermacore, Inc., Lancaster, PA. The excess power out of 41 watts exceeded the total input power given by the product of the electrolysis voltage and current by a factor greater than 8. Elemental analysis of the electrolyte and metallurgical analysis of the cathode showed no evidence of chemical reactions. The pH, specific gravity, concentration of  $K_2CO_3$ , and the elemental analysis of the electrolyte sample taken after 42 days of continuous operation were unchanged from that of the values obtained for the electrolyte sample taken before operation. Elemental analysis and scanning electron microscopy of metallurgical samples of the nickel cathode taken before operation and at day 56 of continuous operation were identical indicating that the nickel cathode had not changed chemically or physically. Scintillation counter and photographic film measurements showed that no radiation above background was detected indicating that nuclear reactions did not occur.

The "ash" of the exothermic reaction is atoms having electrons of energy below the "ground state" which are predicted to form molecules. The predicted molecules were identified by lack of reactivity with oxygen, by separation from molecular deuterium by cryofiltration, and by mass spectroscopic analysis. The combustion of the gases evolved during the electrolysis of a light water  $K_2CO_3$  electrolyte ( $K^+/K^+$  electrocatalytic couple) with a nickel cathode was incomplete. The mass spectroscopic analysis (Dr. David Parees of Air Products & Chemicals, Inc.) of the  $m/e = 2$  peak of the combusted gas demonstrated that the dihydrino molecule,  $H_2(n = 1/2)$ , has a higher ionization energy than  $H_2$ .

Calorimetry of pulsed current and continuous electrolysis of aqueous potassium carbonate ( $K^+/K^+$  electrocatalytic couple) at a nickel cathode was performed in single cell dewar calorimetry cells by HydroCatalysis Power Corporation. Excess power out exceeded input power by a factor greater than 16. No excess heat was observed when the electrolyte was changed from potassium carbonate to the control sodium carbonate. The faraday efficiency was measured volumetrically to be 100%.

**19. V. Noninski, Fusion Technol., Vol. 21, 163 (1992).**

Dr. Noninski of the Laboratory for Electrochemistry of Renewed Electrode-Solution Interface (LEPGER) successfully reproduced the results of Mills and Kneizys [R. Mills and S. Kneizys, Fusion Technol. Vol. 20, 65 (1991)] as a visiting professor at Franklin and Marshall

College. A significant increase in temperature with every watt input, compared with the calibration experiment ( $\approx 50\text{ }^{\circ}\text{C} / \text{W}$  versus  $\approx 30\text{ }^{\circ}\text{C} / \text{W}$ ), was observed during the electrolysis of potassium carbonate. This effect was not observed when sodium carbonate was electrolyzed. No trivial explanation (in terms of chemical reactions, change in heat transfer properties, etc.) of this effect were found.

18. Niedra, J., Meyers, I., Fralick, G. C., and Baldwin, R., "Replication of the Apparent Excess Heat Effect in a Light Water-Potassium Carbonate-Nickel Electrolytic Cell, NASA Technical Memorandum 107167, February, (1996). pp. 1-20.; Niedra, J., Baldwin, R., Meyers, I., NASA Presentation of Light Water Electrolytic Tests, May 15, 1994.

NASA Lewis tested a cell identical to that of Thermacore [Mills, R., Good, W., Shaubach, R., "Dihydrino Molecule Identification", Fusion Technology, Vol. 25, 103 (1994)] with the exception that it was minus the central cathode. A cell identical to the test cell with heater power only (no electrolysis) was the calibration control and the blank cell with the heater power equal to zero. The test cell was also calibrated "on the fly" by measuring the temperature relative to the blank cell at several values of heater input power of the test cell. "Replication of experiments claiming to demonstrate excess heat production in light water-Ni- $\text{K}_2\text{CO}_3$  electrolytic cells was found to produce an apparent excess heat of 11 W maximum, for 60 W electrical power into the cell. Power gains ranged from 1.06 to 1.68." The production of excess energy with a power gain of 1.68 would require 0% Faraday efficiency to account for the observed excess power.

17. Technology Insights, 6540 Lusk Boulevard, Suite C-102, San Diego, CA 92121, "HydroCatalysis Technical Assessment Prepared for PacifiCorp", August 2, 1996.

This report documents a technical assessment of a novel source of hydrogen energy advanced by HydroCatalysis Power Corporation now BlackLight Power, Inc. (BLP). The assessment was conducted as part of the due diligence performed for PacifiCorp. It was conducted by a literature search and review, site visits to BLP and collaborating organizations, and telephone interviews with others active in the general area. A description of concept has been provided above. Also provided above are an assessment of the concept background, supporting theory, laboratory prototypes, projected initial products, and economic and environmental aspects, as well as documenting the results of telephone interviews and site visits. An overall summary and conclusions are presented in the following section.



16. **P. M. Jansson, "HydroCatalysis: A New Energy Paradigm for the 21st Century", Thesis Submitted in partial fulfillment of the requirements of the Masters of Science in Engineering Degree in the Graduate Division of Rowan University, May 1997, Thesis Advisors: Dr. J. L. Schmalzel, Dr. T. R. Chandrupatla, and Dr. A. J. Marchese, External Advisors: Dr. J. Phillips, Pennsylvania State University, Dr. R. L. Mills, BlackLight Power, Inc., W. R. Good, BlackLight Power, Inc.**

This thesis reviews the problems of worldwide energy supply, describes the current technologies that meet the energy needs of our industrial societies, summarizes the environmental impacts of those fuels and technologies and their increased use by a growing global and increasing technical economy. The work also describes and advances the technology being developed by BlackLight Power, Inc. (BLP) a scientific company located in Princeton, New Jersey. BLP's technology proports to offer commercially viable and useful heat generation via a previously unrecognized natural phenomenon - the catalytic reduction of the hydrogen atom to a lower energy state. Laboratory tests obtained as original research of this thesis as well as the review of the data of others substantiate the fact that replication of the experimental conditions which are favorable to initiating and sustaining the new energy release process will generate controllable, reproducible, sustainable and commercial meaningful heat. For example, Jansson has determined heat production associated with hydrino formation with a Calvet calorimeter which yielded exceptional results. Specifically, the results are completely consistent with Mills hydrino formation hypothesis. Approximately  $10^{-3}$  moles of hydrogen was admitted to a  $20\text{ cm}^3$  Calvet cell containing a heated platinum filament and  $KNO_3$  powder. In the three separate trials with a platinum filament hydrogen dissociator which was varied in length of 10 cm, 20 cm, and 30 cm, a mean power of 0.581, 0.818, and 1.572 watts was observed, respectively. The closed experiments were run to completion. The energy observed was 622, 369, and 747 kJ, respectively, This is equivalent to the generation of  $6.2 \times 10^8\text{ J/mole}$ ,  $3.7 \times 10^8\text{ J/mole}$ , and  $7.5 \times 10^8\text{ J/mole}$  of hydrogen, respectively, as compared to  $2.5 \times 10^5\text{ J/mole}$  of hydrogen anticipated for standard hydrogen combustion. Thus, the total heats generated appear to be at least 1000 times too large to be explained by conventional chemistry, but the results are completely consistent with Mills model. Convincing evidence is presented to lead to the conclusion that BLP technology has tremendous potential to achieve commercialization and become an energy paradigm for the next century. The research was also conducted as part of the due diligence performed for Atlantic Energy now Conectiv.

15. **Phillips, J., Smith, J., Kurtz, S., "Report On Calorimetric Investigations Of Gas-Phase Catalyzed Hydrino Formation" Final report for Period October-December 1996", January 1, 1997, A Confidential Report submitted to BlackLight Power, Inc. provided by BlackLight Power, Inc., Great Valley Corporate Center, 41 Great Valley Parkway, Malvern, PA 19355.**

Pennsylvania State University Chemical Engineering Department has determined heat production associated with hydrino formation with a Calvet calorimeter which yielded exceptional results. Specifically, the results are completely consistent with Mills hydrino formation hypothesis. In three separate trials, between 10 and 20 K Joules were generated at a rate of 0.5 Watts, upon admission of approximately  $10^{-3}$  moles of hydrogen to the 20  $\text{cm}^3$  Calvet cell containing a heated platinum filament and  $\text{KNO}_3$  powder. This is equivalent to the generation of  $10^7 \text{ J/mole}$  of hydrogen, as compared to  $2.5 \times 10^5 \text{ J/mole}$  of hydrogen anticipated for standard hydrogen combustion. Thus, the total heats generated appear to be 100 times too large to be explained by conventional chemistry, but the results are completely consistent with Mills model.

14. **Phillips, J., Shim, H., "Additional Calorimetric Examples of Anomalous Heat from Physical Mixtures of K/Carbon and Pd/Carbon", January 1, 1996, A Confidential Report submitted to HydroCatalysis Power Corporation provided by HydroCatalysis Power Corporation, Great Valley Corporate Center, 41 Great Valley Parkway, Malvern, PA 19355.**

Pennsylvania State University Chemical Engineering Department has determined excess heat release from flowing hydrogen in the presence of ionic hydrogen spillover catalytic material: 40% by weight potassium nitrate ( $\text{KNO}_3$ ) on graphitic carbon powder with 5% by weight 1%-Pd-on-graphitic carbon ( $\text{K}^+/\text{K}^+$  electrocatalytic couple) by the very accurate and reliable method of heat measurement, thermopile conversion of heat into an electrical output signal. Excess power and heat were observed with flowing hydrogen over the catalyst. However, no excess power was observed with flowing helium over the catalyst mixture. Rates of heat production were reproducibly observed which were higher than that expected from the conversion of all the hydrogen entering the cell to water, and the total energy observed was over four times larger than that expected if all the catalytic material in the cell were converted to the lowest energy state by "known" chemical reactions. Thus, "anomalous" heat, heat of a magnitude and duration which could not be explained by conventional chemistry, was reproducibly observed.

13. **Bradford, M. C., Phillips, J., "A Calorimetric Investigation of the Reaction of Hydrogen with Sample PSU #1", September 11, 1994, A Confidential Report submitted to HydroCatalysis Power Corporation provided by HydroCatalysis Power Corporation, Great Valley Corporate Center, 41 Great Valley Parkway, Malvern, PA 19355.**

Pennsylvania State University Chemical Engineering Department has determined excess heat release from flowing hydrogen in the presence of nickel oxide powder containing strontium niobium oxide ( $\text{Nb}^{3+}/\text{Sr}^{2+}$  electrocatalytic couple) by the very accurate and reliable method of heat measurement, thermopile conversion of heat into an electrical output signal. Excess power and heat were observed with flowing hydrogen over the catalyst which increased with increasing flow rate. However, no excess power was observed with flowing helium over the catalyst/nickel oxide mixture or flowing hydrogen over nickel oxide alone. Approximately 10 cc of nickel oxide powder containing strontium niobium oxide immediately produced 0.55 W of steady state output power at 523 K. When the gas was switched from hydrogen to helium, the power immediately dropped. The switch back to hydrogen restored the excess power output which continued to increase until the hydrogen source cylinder emptied at about the 40,000 second time point. With no hydrogen flow the output power fell to zero.

The source of heat is assigned to the electrocatalytic, exothermic reaction whereby the electrons of hydrogen atoms are induced to undergo transitions to quantized energy levels below the conventional "ground state". These lower energy states correspond to fractional quantum numbers:  $n = 1/2, 1/3, 1/4, \dots$ . Transitions to these lower energy states are stimulated in the presence of pairs of niobium and strontium ions ( $\text{Nb}^{3+}/\text{Sr}^{2+}$  electrocatalytic couple) which provide 27.2 eV energy sinks.

12. **Jacox, M. G., Watts, K. D., "The Search for Excess Heat in the Mills Electrolytic Cell", Idaho National Engineering Laboratory, EG&G Idaho, Inc., Idaho Falls, Idaho, 83415, January 7, 1993.**

Idaho National Engineering Laboratory (INEL) operated a cell identical to that of Thermacore [Mills, R., Good, W., Shaubach, R., "Dihydrino Molecule Identification", Fusion Technology, Vol. 25, 103 (1994)] except that it was minus the central cathode and that the cell was wrapped in a one-inch layer of urethane foam insulation about the cylindrical surface. The cell was operated in a pulsed power mode. A current of 10 amperes was passed through the cell for 0.2 seconds followed by 0.8 seconds of zero current for the current cycle. The cell voltage was about 2.4 volts, for an average input power of 4.8 W.

The electrolysis power average was 1.84 W, and the stirrer power was measured to be 0.3 W. Thus, the total average net input power was 2.14 W. The cell was operated at various resistance heater settings, and the temperature difference between the cell and the ambient as well as the heater power were measured. The results of the excess power as a function of cell temperature with the cell operating in the pulsed power mode at 1 Hz with a cell voltage of 2.4 volts, a peak current of 10 amperes, and a duty cycle of 20 % showed that the excess power is temperature dependent for pulsed power operation, and the maximum excess power was 18 W for an input electrolysis joule heating power of 2.14 W. Thus, the ratio of excess power to input electrolysis joule heating power was 850 %. INEL scientists constructed an electrolytic cell comprising a nickel cathode, a platinized titanium anode, and a 0.57 M  $K_2CO_3$  electrolyte. The cell design appears in Appendix 1. The cell was operated in the environmental chamber in the INEL Battery Test Laboratory at constant current, and the heat was removed by forced air convection in two cases. In the first case, the air was circulated by the environmental chamber circulatory system alone. In the second case, an additional forced air fan was directed onto the cell. The cell was equipped with a water condenser, and the water addition to the cell due to electrolysis losses was measured. The data of the forced convection heat loss calorimetry experiments during the electrolysis of a 0.57 M  $K_2CO_3$  electrolyte with the INEL cell showed that 13 W of excess power was produced. This excess power could not be attributed to recombination of the hydrogen and oxygen as indicated by the equivalence of the calculated and measured water balance.

**11. Peterson, S., H., Evaluation of Heat Production from Light Water Electrolysis Cells of HydroCatalysis Power Corporation, Report from Westinghouse STC, 1310 Beulah Road, Pittsburgh, PA, February 25, 1994.**

Westinghouse Electric Corporation reports that excess heat was observed during the electrolysis of aqueous potassium carbonate ( $K^+/K^+$  electrocatalytic couple) where the electrolysis of aqueous sodium carbonate served as the control. The data of the temperature of the cell minus the ambient temperature shows that when potassium carbonate replaced sodium carbonate in the same cell with the same input electrolysis power, the potassium experiment was twice as hot as the sodium carbonate experiment for the duration of the experiment, one month. The net faraday efficiency of gas evolution was experimentally measured to be unity by weighing the experiment to determine that the expected rate of water consumption was observed. The output power exceeded the total input power. The data was analyzed by HydroCatalysis Power Corporation [Mills, R., Analysis by HydroCatalysis Power Corporation of Westinghouse Report Entitled "Evaluation of Heat

Production from Light Water Electrolysis Cells of HydroCatalysis Power Corporation, Report from Westinghouse STC", February 25, 1994].

**10. Haldeman, C. W., Savoye, G. W., Iseler, G. W., Clark, H. R., MIT Lincoln Laboratories Excess Energy Cell Final report ACC Project 174 (3), April 25, 1995.**

During the electrolysis of aqueous potassium carbonate, researchers working at MIT Lincoln Laboratories observed long duration excess power of 1-5 watts with output/input ratios over 10 in some cases with respect to the cell input power reduced by the enthalpy of the generated gas. In these cases, the output was 1.5 to 4 times the integrated volt-ampere power input. Faraday efficiency was measured volumetrically by direct water displacement.

**9. Craw-Ivanco, M. T.; Tremblay, R. P.; Boniface, H. A.; Hilborn, J. W.; "Calorimetry for a Ni/ $K_2CO_3$  Cell", Atomic Energy Canada Limited, Chemical Engineering Branch, Chalk River Laboratories, Chalk River, Ontario, June 1994.**

Atomic Energy Canada Limited, Chalk River Laboratories, report that 128 % and 138% excess heat were observed in separate experiments by flow calorimetry during the electrolysis of aqueous potassium carbonate ( $K^+/K^+$  electrocatalytic couple) in a closed cell, and that 138% was observed in an open cell.

**8. Shaubach, R. M., Gernert, N. J., "Anomalous Heat From Hydrogen in Contact with Potassium Carbonate", Thermacore Report, March 1994.**

A high temperature/high pressure/high power density industrial prototype gas cell power generator which produced 50 watts of power at 300 °C having a nickel surface area of only 300 cm<sup>2</sup> was successfully developed. A sample of the nickel tubing of the aqueous potassium carbonate permeation cell was analyzed by XPS at the Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA. A broad peak centered at 54.6 eV was present; whereas, the control nickel tube showed no feature. The binding energy (in vacuum) of H(n = 1/2) is 54.4 eV. Thus, the theoretical and measured binding energies for H(n = 1/2) are in excellent agreement. No excess energy or 54.6 eV feature were observed when sodium carbonate replaced potassium carbonate.

**7. Gernert, N., Shaubach, R. M., Mills, R., Good, W., "Nascent Hydrogen: An Energy Source," Final Report prepared by Thermacore, Inc., for the Aero Propulsion and Power Directorate, Wright Laboratory, Air Force Material Command (ASC), Wright-Patterson Air Force Base, Contract Number F33615-93-C-2326, May, (1994).**

In a report prepared for the Aero Propulsion and Power Directorate, Wright Laboratory, Air Force Material Command (ASC), Wright-Patterson Air Force Base, Thermacore reports, "anomalous heat was observed from a reaction of atomic hydrogen in contact with potassium carbonate on a nickel surface. The nickel surface consisted of 500 feet of 0.0625 inch diameter tubing wrapped in a coil. The coil was inserted into a pressure vessel containing a light water solution of potassium carbonate. The tubing and solution were heated to a steady state temperature of 249 °C using an I<sup>2</sup>R heater. Hydrogen at 1100 psig was applied to the inside of the tubing. After the application of hydrogen, a 32 °C increase in temperature of the cell was measured which corresponds to 25 watts of heat. Heat production under these conditions is predicted by the theory of Mills where a new species of hydrogen is produced that has a lower energy state than normal hydrogen. ESCA analysis, done independently by Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA, have found the predicted 55 eV signature of this new species of hydrogen."

**6. Wiesmann, H., Brookhaven National Laboratory, Department of Applied Science, Letter to Dr. Walter Polansky of the Department of Energy Regarding Excess Energy Verification at Brookhaven National Laboratory, October 16, 1991.**

Calorimetry of continuous electrolysis of aqueous potassium carbonate ( $K^+/K^+$  electrocatalytic couple) at a nickel cathode was performed in single cell dewar calorimetry cell by Noninski at Brookhaven National Laboratory. Dr. Weismann observed the experiment and reported the results to Dr. Walter Polansky of the U. S. Department of Energy. Dr. Weismann reports, "The claim is as follows. The temperature rise in the dewar is greater in the case of electrolysis as compared to using a resistor, even though the power dissipated is equal in both cases. According to Dr. Mills' theory, this apparent "excess power" is due to the fact that the electron in a hydrogen atom can "decay" to stable subinterger quantum levels. Dr. Noninski demonstrated this thermal effect at BNL." The observed rise in temperature for a given input power was twice as high comparing electrolysis versus heater power.

**5. Nesterov, S. B., Kryukov, A. P., Moscow Power Engineering Institute Affidavit, February, 26,1993.**

The Moscow Power Engineering Institute experiments showed 0.75 watts of heat output with only 0.3 watts of total power input (power = VI) during the electrolysis of an aqueous potassium carbonate electrolyte with a nickel foil cathode and a platinized titanium

anode. Excess power over the total input on the order of 0.45 watts was produced reliably and continuously over a period of three months. Evaluation of the electrolyte after three months of operation showed no significant change in its density or molar concentration. The cell was disassembled and inspected after over one month of operation at 0.1 amperes. This inspection showed no visible signs of a reaction between the electrodes and the electrolyte. The cell was re-assembled and operated as before. Excess energy was produced for the three month duration of the experiment. Scintillation counter measurements showed no signs of radiation external to the cell.

**4. Miller, A., Simmons, G., Lehigh X-Ray Photoelectron Spectroscopy Report, Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University Bethlehem, PA, November 1993.**

Samples of the nickel cathodes of aqueous potassium carbonate electrolytic cells and aqueous sodium carbonate electrolytic cells were analyzed by XPS by Miller and Simmons of the Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA. A broad peak centered at 54.6 eV was present only in the cases of the potassium carbonate cells. The binding energy (in vacuum) of  $H(n = 1/2)$  is 54.4 eV. Thus, the theoretical and measured binding energies for  $H(n = 1/2)$  are in excellent agreement. Lehigh University has conducted an extensive investigation of the cathodes from heat producing as well as those from control cells. Miller concludes that "I was unable to find any other elements on the surface that cause the feature. The persistent appearance of a spectral feature near the predicted binding energy for many of the electrodes used with a K electrolyte is an encouraging piece of evidence for the existence of the reduced energy state hydrogen".

**3. Jacox, M. G., Watts, K. D., "INEL XPS Report", Idaho National Engineering Laboratory, EG&G Idaho, Inc., Idaho Falls, Idaho, 83415, November 1993.**

The Lehigh XPS results of a broad peak centered at 54.6 eV present only in the cases of the potassium carbonate cells [Miller, A., Simmons, G., Lehigh X-Ray Photoelectron Spectroscopy Report, Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA, November 1993] were confirmed at Idaho National Engineering Laboratory (INEL). Samples which demonstrated the feature as well as control electrodes were tested for the presence of trace amounts of impurities of the elements iron and lithium at a sensitivity level of greater than 1000 times that of XPS. TOF-SIMS (Time of Flight-Secondary Ion Mass Spectroscopy) and XPS analysis of the nickel surface was performed

by Charles Evans & Associates, Sunnyvale, CA [Lee, Jang-Jung, Charles Evans & Associates Time-Of-Flight Secondary Ion Mass Spectroscopy (TOF-SIMS) Surface Analysis Report, CE&A Number 40150, March 18, 1994]. The 54.6 eV feature was also observed by Charles Evans & Associates in the case of cathodes of potassium carbonate electrolytic cells [Craig, A., Y., Charles Evans & Associates XPS/ESCA Results, CE&A Number 44545, November 3, 1994]. Iron and lithium were the only remaining atoms which were in question by Lehigh University and INEL as the source of the 54.6 eV XPS peak. The Charles Evans TOF-SIMS results demonstrate that iron and lithium were not the source of this peak.

**2. Lee, Jang-Jung, Charles Evans & Associates Time-Of-Flight Secondary Ion Mass Spectroscopy (TOF-SIMS) Surface Analysis Report, CE&A Number 40150, March 18, 1994.**

The Lehigh XPS results of a broad peak centered at 54.6 eV present only in the cases of the potassium carbonate cells [Miller, A., Simmons, G., Lehigh X-Ray Photoelectron Spectroscopy Report, Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh University, Bethlehem, PA, November 1993] were confirmed at Idaho National Engineering Laboratory (INEL) [Jacox, M. G., Watts, K. D., "INEL XPS Report", Idaho National Engineering Laboratory, EG&G Idaho, Inc., Idaho Falls, Idaho, 83415, November 1993]. Samples which demonstrated the feature as well as control electrodes were tested for the presence of trace amounts of impurities of the elements iron and lithium at a sensitivity level of greater than 1000 times that of XPS. TOF-SIMS (Time of Flight-Secondary Ion Mass Spectroscopy) and XPS analysis of the nickel surface was performed by Charles Evans & Associates, Sunnyvale, CA. The 54.6 eV feature was also observed by Charles Evans & Associates in the case of cathodes of potassium carbonate electrolytic cells [Jacox, M. G., Watts, K. D., "INEL XPS Report", Idaho National Engineering Laboratory, EG&G Idaho, Inc., Idaho Falls, Idaho, 83415, November 1993]. Iron and lithium were the only remaining atoms which were in question by Lehigh University and INEL as the source of the 54.6 eV XPS peak. The Charles Evans TOF-SIMS results demonstrate that iron and lithium were not the source of this peak.

**1. Craig, A., Y., Charles Evans & Associates XPS/ESCA Results, CE&A Number 44545, November 3, 1994.**

The Lehigh XPS results of a broad peak centered at 54.6 eV present only in the cases of the potassium carbonate cells [Miller, A., Simmons, G., Lehigh X-Ray Photoelectron Spectroscopy Report, Zettlemoyer Center for Surface Studies, Sinclair Laboratory, Lehigh



University, Bethlehem, PA, November 1993] were confirmed at Idaho National Engineering Laboratory (INEL) [Jacox, M. G., Watts, K. D., "INEL XPS Report", Idaho National Engineering Laboratory, EG&G Idaho, Inc., Idaho Falls, Idaho, 83415, November 1993]. Samples which demonstrated the feature as well as control electrodes were tested for the presence of trace amounts of impurities of the elements iron and lithium at a sensitivity level of greater than 1000 times that of XPS. TOF-SIMS (Time of Flight-Secondary Ion Mass Spectroscopy) and XPS analysis of the nickel surface was performed by Charles Evans & Associates, Sunnyvale, CA [Lee, Jang-Jung, Charles Evans & Associates Time-Of-Flight Secondary Ion Mass Spectroscopy (TOF-SIMS) Surface Analysis Report, CE&A Number 40150, March 18, 1994]. The 54.6 eV feature was also observed by Charles Evans & Associates in the case of cathodes of potassium carbonate electrolytic cells. Iron and lithium were the only remaining atoms which were in question by Lehigh University and INEL as the source of the 54.6 eV XPS peak. The Charles Evans TOF-SIMS results demonstrate that iron and lithium were not the source of this peak.

Given Applicant's full compliance with the new standards imposed by Specialist McGinty during the February 11, 2003 Interview, which required independent validation of the experimental evidence of record, Applicant is entitled to have this evidence accepted as reliable and to have this and other BlackLight applications issue as patents.

**Applicant's Response Documenting Examiner Langel's Reaffirmation of the Utility and Operability of Applicant's Novel Hydrogen Technology and His Subsequent Removal From Examining All BlackLight Cases**

Pursuant to representations and agreements made during the February 11 Interview (reprinted below), Applicant followed up with the submission of much of the above scientific evidence in two copending BlackLight applications by arranging an Interview with Examiner Langel, who was assigned to those cases. [U.S. Serial Nos. 09/110,678 ('678 application) and 09/362,693 ('693 application).] The express purpose of the Interview, held on April 14, 2003, was to review those two applications on a claim-by-claim basis to ensure that the scientific data presented adequately supported the scope of the claims. Examiner Langel expressed once again his view that the claims of the two applications were adequately supported by the data and, therefore, that claims were allowable.

A detailed account of the discussions Applicant's counsel, Jeffrey Melcher and Jeffrey Simenauer, had with Examiner Langel during the April 14, 2003 Interview, and with Examiner Langel and his supervisor, SPE Stanley Silverman, during follow-up telephone Interviews were documented in Supplemental Responses filed in the '678 and '693 applications, comments from which are reproduced below. Based on the shocking revelations divulged during these discussions, Applicant must once again protest in the strongest terms possible the manner in which an anonymous group of PTO officials (*i.e.*, the "Secret Committee") has mishandled the examination of BlackLight's patent applications relating to Applicant's novel hydrogen technology.

Counsel was particularly distressed to learn that after Examiner Langel met with Supervisor Silverman to advocate allowing the '678 and '693 applications to issue as patents, his supervisor informed him that "allowance is not an option." Despite the Examiner's careful study of the overwhelming weight of the scientific data supporting allowance, his supervisor further instructed him to "make it appear as if you have authority [to allow the applications] and that you are in favor of full rejection."

Understandably, Examiner Langel felt uneasy having been asked to make representations on the record that were not true. He explained that, "for moral and ethical reasons," he had no choice but to allow himself to be removed from examining all assigned BlackLight applications. Although Supervisor Silverman admitted that the removal decision had been made "partially by [him] and partially by others," he would not reveal who those "others" were.

Applicant strongly objects to Examiner Langel's removal under these egregious circumstances and demands that the PTO reinstate him immediately and allow BlackLight's applications to issue. The Secret Committee is duty bound to honor the representations and agreements made by Quality Assurance Specialist Douglas McGinty during the February 11, 2003 Interview, declaring that:

- (1) Examiner Langel and the other Examiners of record have "full authority" to review the scientific data supporting lower energy states of hydrogen generated and furnished by independent third parties and, based on that review, to issue patents as deemed appropriate;

- (2) Applicant should confer with the Examiners, either by telephone or in person, to review each assigned application on a claim-by-claim basis to ensure that the scientific data presented adequately supports the scope of the claims; and
- (3) for those claims determined to be adequately supported by the data, a patent will issue; for any claims deemed to be inadequately supported, Applicant reserves the right to continue seeking that broader claim coverage in subsequent proceedings. [See March 6, 2003 Response filed in the '678 application]

It was precisely because of the many prior abuses that led to this short-lived "breakthrough" that U.S. Congressman David Wu sent his Senior Legislative Assistant, Ted Liu, to attend the February 11 Interview. Prior to the Interview, a senior PTO official alleged to Mr. Liu that there was no "Secret Committee." At the Interview, Mr. Liu witnessed not only Specialist McGinty's representation that Examiner Langel had the authority to allow BlackLight's applications, but the Examiner's unequivocal statement that the applications were, in fact, allowable and that he was prepared to issue Applicant his patents right then and there. [See supra and Attachment P]

Despite those representations, an anonymous group of individuals has now declared that allowance is not even an option in BlackLight's cases. Worse yet, this Secret Committee sought to leave the false impression on the record that Examiner Langel—and perhaps other Examiners of record—had the authority to allow BlackLight's applications, and that he favored the rejection of claims over allowance.

In view of this unfortunate incident, Applicant is entitled to a complete accounting of events leading to Examiner Langel's removal, including identification of all persons involved in making that decision. In raising an objection to the removal with Supervisor Silverman, Applicant's counsel requested that he identify those decision-makers, but was told, "You figure it out!"

#### **Detailed Account of the April 14, 2003 Interview and Subsequent Discussions**

As stated above, the express purpose of the April 14, 2003 Interview was to review the scientific data generated and furnished by independent third parties identified in the March 6, 2003 Response that was filed in the '678 and '693 applications in

support of the lower energy states of hydrogen and to ensure that the data adequately supported the scope of the claims to secure their allowance.

Applicant had no reason to suspect that this approach, as agreed to during the prior February 11, 2003 Interview, was about to be completely scrapped. During the subsequent April 14, 2003 Interview, Examiner Langel once again reaffirmed his long-held opinion that the scientific data demonstrated the operability of Applicant's novel hydrogen technology, thus warranting patent protection. The Examiner's comments made clear that, prior to the interview, he had extensively reviewed Applicant's data, as well as the summary statements characterizing that data, appearing in the prior Responses filed in the '678 and '693 applications. Based on that review, Examiner Langel expressed several times during the Interview his willingness to allow those cases. Those views were confirmed by the Examiner in his interview summary, which stated that "[t]he participants presented data establishing the existence of lower-energy hydrogen." [See April 14, 2003 Interview Summary Form filed in the '678 and '693 applications (Attachment F).]

Examiner Langel, however, refrained from indicating allowance of any specific claims for two stated reasons. First, a few items of submitted data summarized in the March 6 Response inexplicably could not be located in the PTO files. The Examiner wanted time to confirm the data had been made of record, as well as Applicant's description of its relevance. Second, despite Specialist McGinty's representation at the February 11 Interview that Examiner Langel had full authority to review the data and to issue claims in this case, the Examiner explained that he needed to advise him and Supervisor Silverman of his intention to do so.

Examiner Langel then recalled a recent visit to his office by Group Director Jacqueline Stone informing him—again, contrary to what Applicant was told at the February 11, 2003 Interview—that he did not have authority to issue Notices of Allowance, or to otherwise give indications of allowance, in any BlackLight applications. Director Stone instructed Examiner Langel that he would need Specialist McGinty's permission before so indicating allowance.

Examiner Langel did, however, note that Supervisor Silverman and Specialist McGinty had agreed before the February 11 Interview to allow claims if Applicant could

show that his submitted scientific data was generated by independent third parties. The Examiner reassured counsel that he would present to his superiors the scientific data discussed at the April 14 Interview with a recommendation of allowance consistent with his past views.

Applicant's counsel agreed that it made sense to allow time for Examiner Langel to discuss the case with his superiors and for counsel to resubmit the few missing items of scientific data, whereupon arrangement was made to continue with the personal Interview on the following day, April 15<sup>th</sup>. That morning, however, counsel received a distressing telephone message from Examiner Langel informing him that the Interview had been canceled. The Examiner stated that Supervisor Silverman had removed him from the subject cases and that he was no longer assigned to any BlackLight applications.

Applicant's counsel immediately telephoned Examiner Langel for a further explanation of what had happened. The Examiner confirmed his removal following the meeting he had arranged with Supervisor Silverman to discuss the scientific data that had been the subject of the previous day's Interview and to advocate allowance of the claims in the two subject applications. Examiner Langel informed counsel that his supervisor refused to even look at the data and, in response to his recommendation of allowance, Supervisor Silverman told him "allowance is not an option." According to Examiner Langel he was then told: "Make it appear as if you have authority [to allow the applications] and that you are in favor of full rejection."

Examiner Langel explained that, regrettably, he had no choice but to resign from further examination of BlackLight's applications. According to the Examiner, Supervisor Silverman gave him the option of staying on, "but not really—I could not go on like this." He explained that "for moral and ethical reasons," he could no longer continue to examine his assigned cases.

Alarmed by this sudden turn of events, counsel called Supervisor Silverman the following day, April 16<sup>th</sup>, to object to Examiner Langel's removal and to seek his reinstatement. Supervisor Silverman confirmed that Examiner Langel would no longer be examining Blacklight's patent applications and that all cases were in the process of being consolidated and transferred to a new Examiner.

Counsel kindly requested that Supervisor Silverman explain why those cases were being transferred and who made that decision. He initially refused to discuss the matter, saying only that, "I am not going to be put on the stand and cross examined on this." Upon further prodding, Supervisor Silverman volunteered that "the decision was made partially by me and partially by others." He refused, however, to be more specific when asked to identify the "others" involved in the decision, stating "I am not going to discuss that. You can say that it was *my* decision."

Counsel then informed Supervisor Silverman of Applicant's intention to file an objection to Examiner Langel's removal and to the consolidation and transfer of BlackLight's applications to a new Examiner. Counsel explained that Applicant had expended enormous amounts of time and money over a period of many years prosecuting BlackLight's patent applications before Examiner Langel and getting him up to speed on the claimed technology and the extensive scientific data confirming its operation. Counsel argued that it was unfair now to remove Examiner Langel and transfer all of BlackLight's cases to a new Examiner just to begin the process all over again. Supervisor Silverman would hear none of it, again stating, "I'm not going to discuss it."

Applicant's counsel made one last attempt to learn the identity of the other PTO officials responsible for taking that drastic action and their reasons for doing so. Supervisor Silverman again refused this request for information, snapping at counsel, "You figure it out!" Counsel then asked the Supervisor whom they might talk to so they could "figure it out" as he put it. Supervisor Silverman advised counsel, "Talk to whomever you want," but when asked whom specifically he had in mind, he again retorted, "I don't like to be cross-examined."<sup>108</sup>

At the end of the conversation, Supervisor Silverman attempted to justify the PTO's extreme actions by claiming that it was in the "best interest" to transfer the applications. But, when asked by counsel whose best interest was being served by the transfer, he refused to answer. Instead, Supervisor Silverman offered a stunning

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<sup>108</sup> Counsel has taken steps "to figure it out" and expressly reserves the right to further supplement the objections raised herein as additional facts come to light. (Attachment R)

revelation that Applicant's novel hydrogen technology was "beyond Examiner Langel's technical expertise" and that all of the BlackLight cases would be consolidated and transferred to another examiner with "more technical expertise." He would not elaborate on who this new, more highly qualified Examiner might be.<sup>109</sup>

Needless to say, at no time during the five years Applicant has been prosecuting his patent applications before Examiner Langel—who has over thirty years of Patent Office experience—did his technical expertise ever come into question. Indeed, throughout the lengthy prosecution of these cases, counsel has been impressed with the Examiner's in-depth knowledge of chemistry and physics, as well as other scientific principles, underlying Applicant's novel hydrogen technology. That Supervisor Silverman would raise Examiner Langel's technical competence as an issue at such a late stage of that prosecution only heightens Applicant's suspicions as to the real motivation for removing Examiner Langel.

Immediately following the conversation with Supervisor Silverman, counsel telephoned Examiner Langel one last time to apprise him of the situation and to thank him for his many years of service in examining BlackLight's applications. Examiner Langel expressed regret over his removal from those cases and confirmed that he had "learned a lot about [BlackLight's] technology." The Examiner also expressed surprise that his expertise was now being called into question.

Examiner Langel shared counsel's exasperation over the situation. Counsel asked him if he knew of any other instances in which a PTO Examiner had been instructed to represent that he had authority to allow an application when, in fact, he had no such authority, and that he favored rejecting claims when he actually wanted to allow them. The Examiner's exact words were: "I've never seen anything like it."

Frankly, neither has Applicant's counsel and, in view of these unique circumstances, Applicant must once again strenuously object to the abusive treatment to which his applications have been subjected.

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<sup>109</sup> Supervisor Silverman's statement that all of BlackLight's applications were being consolidated and transferred to a single, more qualified Examiner turned out to be untrue. In fact, Applicant's cases currently remain spread between four Examiners, not one: Examiners Kalafut, Tsang-Foster, Wells and Wayner.

### **Demand for Information and Redress**

Applicant believes that the totality of events documented above are highly relevant to the PTO's examination of all of BlackLight's patent applications and accurately describe the detrimental effects that examination has had on Applicant's patent rights. These events further demonstrate the PTO's failure to provide adequate safeguards to the interests of Applicant, including fair and expeditious examination, as contemplated by the Federal Circuit in its June 28, 2002 Decision. Applicant therefore respectfully demands that the PTO provide certain information and redress, including:

- 1) identification of all Examiners or other PTO personnel who were consulted, or otherwise provided input, in the examination of BlackLight's applications;
- 2) identification of all outside consultants or other persons who were consulted, or otherwise provided input, in the examination of BlackLight's applications;
- 3) identification of all PTO officials responsible for withdrawing BlackLight's five allowed applications from issuance and a complete disclosure of the facts and circumstances surrounding that withdrawal action;
- 4) identification of all outside sources of information who may have precipitated, or otherwise contributed to, the PTO withdrawing BlackLight's five allowed applications from issuance and a complete disclosure of the facts and circumstances surrounding those actions;
- 5) a complete disclosure of the facts and circumstances surrounding the removal of Examiner Langel from examining BlackLight's applications and the transfer those cases to a new Examiner, including, but not limited to, identification of all persons involved these incidents;
- 6) immediate reinstatement of Examiner Langel to his position as the Examiner of record in all BlackLight applications to which he had been previously assigned;
- 7) the examination and issuance of all allowable BlackLight applications in accordance with the representations and agreements made at the February 11, 2003 Interview; and
- 8) as a matter of equity, the immediate issuance, without further examination, of all five of BlackLight's withdrawn patent applications due to the PTO's failure to provide the safeguards to the interests of



Applicant, including fair and expeditious further examination as contemplated by the Federal Circuit in its June 28, 2002 Decision.

**Response to Specific Arguments Presented in  
the Secret Committee's Most Recent Office Action**

Applicant reached agreements with the PTO during the February 11, 2003 Interview as to how it would conduct its examination of BlackLight's applications following the tumultuous prosecution history of these cases. The Secret Committee, in its subsequent Office Actions, including the present one, now defaults on those agreements, whereby examination in this case has reverted back to where Applicant's scientific evidence is almost entirely ignored on baseless theoretical grounds without applying reasonable patent standards, confirming that "allowance is not an option." Despite the unfairness of these actions, Applicant will not be deterred from seeking the patent rights to which he is entitled.

With that said, Applicant now addresses the Committee's latest arguments presented in the pending Office Action:

**Regarding the Secret Committee's  
Misplaced Reliance on Krieg and Zimmerman**

In light of the Committee's failure to respond to Applicant's previous arguments regarding its misplaced reliance on Krieg and Zimmerman, those arguments are repeated below.

The Committee once again launches one of its theory-based attacks, beginning on page 2 of the Office Action, based on the Internet pages by Krieg and Zimmerman. The Committee's reliance on this internet post is misplaced for several reasons, not the least of which is its citation to Dr. Zimmerman, whose involvement in BlackLight's affairs calls the Committee's actions further into question.

Aside from the fact that the PTO relies on non-peer reviewed materials posted to an internet chat group while, at the same time, requiring that Applicant's submitted materials be subjected to peer review—a double standard if there ever was one—the Committee shows extreme bias and rather poor judgment in citing material from an arch cynic with a significant vested interest that he is openly protecting. Indeed, as Applicant

pointed out above, Dr. Zimmerman has boasted of his efforts to sabotage Applicant's patent rights. The PTO needs no reminding that Dr. Zimmerman is the former Chief Scientist for the U.S. State Department who published an Abstract of a proposed APS speech boasting how his Department and the Patent Office "have fought back with success" against BlackLight. It was Dr. Zimmerman, of course, who informed Applicant that his colleague, Dr. Robert Park—spokesman for BlackLight's competitor the American Physical Society (APS)—has communicated with a PTO contact he refers to as "Deep Throat" with access to confidential patent information.<sup>110</sup> [See Attachment K, Tab C]

Applicant is deeply concerned that the PTO has continued its questionable practice of cooperating with Applicant's competitors, including Dr. Zimmerman and Dr. Park, in thwarting Applicant's patent rights. This concern is only bolstered by the citation to Dr. Zimmerman's non-peer-reviewed, unsubstantiated comments appearing in his paper entitled, "An Analysis of Theoretical Flaws in So-Called Classical Quantum Mechanics and of Experimental Evidence against CQM." Dr. Zimmerman's copyright notice, prominently displayed on the front of the paper in question, makes this point clear:

This entire article is copyright 2001 by Peter D. Zimmerman. No forwarding, reposting, copying, excerpting or direct quotation **whatsoever**, even for the purpose of reviews, or storage in any data base or storage system other than the HSG files on Yahoo.com or on the author's personal computer is permitted without the express written permission of the author.

© Peter D. Zimmerman, 2001. All rights reserved. [Emphasis in original.]

Applicant must assume that the PTO, an agency obviously well versed in intellectual property rights, would not have willfully violated the terms of Dr. Zimmerman's copyright notice. Thus, it must be presumed that the agency has been in contact with Dr. Zimmerman, at the very least to secure his permission to reproduce this

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<sup>110</sup> Having injected Dr. Zimmerman into this case, the PTO is constrained to address the issues raised many years ago in the January 19, 2001 letter to Director Esther Keplinger (Attachment K) relating to the efforts of Dr. Zimmerman and his APS colleagues—Dr. Park in particular—to sabotage Applicant's patent rights.

paper, if not to secure his cooperation in others ways that continue to undermine Applicant's patent rights. Applicant is entitled to know the extent of those contacts and the nature of any communications between the PTO and either Dr. Zimmerman or his colleague Dr. Park.

In fact, the Committee's own argument presented in another Office Action, issued in U.S. App'n. Ser. No. 09/009,294, makes a further case for why Applicant is entitled to information relating to the questionable activities involving Dr. Zimmerman and Dr. Park:

Applicants arguments refer to a Dr. Robert Park, and his "hostile statements against BlackLight" (page 27 of the amendment). None of the references cited by the Office of record in the present application are authored by anyone named Robert Park. [June 11, 2003 Office Action at p. 6, U.S. App'n No. 09/009,294]

As Applicant pointed out in his Response to that argument, Dr. Park did in fact author one of the references cited against Applicant in withdrawing five of his applications from issuing as patents. Additionally, Dr. Park's comments were relied upon to deny Applicant patent protection during the Interview that was held February 11, 2003. Finally, in yet another Office Action, issued in U.S. App'n Ser. No. 09/181,180, Dr. Park's opinion was cited as a direct basis for rejecting claims in that case:

The opinion of Robert Park set forth in the Examiner's action of 4/14/00, paper #16, i.e., "But according to the country's leading organization of academic physicists, Mills' hydrino theory has no credibility. 'There is virtually nothing that science does not know about the hydrogen atom,' said Robert Park, director of the Washington office of the American Physical Society. "The ground state is defined as the (energy) state below which you cannot go... the thought there is some state below the ground state is kind of humorous." [April 26, 2004 Office Action at p. 4, U.S. App'n Ser. No. 09/181,180]

Therefore, by its own argument, the Committee owes Applicant an explanation for its activities involving Dr. Park. Similarly, now that the Committee relies on a newly cited reference that was authored by Dr. Zimmerman in rejecting the present application, it admits that the information relating to Dr. Zimmerman's activities is also relevant. While the Committee's previous refusals to address the improper activities of Dr. Zimmerman and Dr.

Park are somewhat understandable given the nature of the incriminating evidence, the Committee must now disclose this vital information by its own admission.

Applicant further points out that the Committee has simply ignored Dr. Mills' extensive rebuttal comments to Dr. Zimmerman's paper that were posted in the same internet chat room that Dr. Zimmerman used to post his paper. Applicant provides a copy of those rebuttal comments and requests that the Committee fully consider Dr. Mills' comments with the same level of reliability accorded Dr. Zimmerman. [See Attachment I]

Finally, Applicant requests a cogent explanation why the Committee required that all materials in support of his discovery of lower-energy hydrogen be submitted for peer review and publication in qualified scientific journals when biased statements taken from Applicant's competitors are not subjected to the same scrutiny. The PTO's imposition of this obvious double standard merely highlights the arbitrary and capricious manner in which the Committee has handled this and other BlackLight applications.

The Committee's reliance on the Krieg and Zimmerman articles is also suspect based on substantive grounds. For instance, QM does not provide a basis for a "ground state" of the hydrogen atom beyond an arbitrary definition as discussed previously:

80. R. L. Mills, The Fallacy of Feynman's Argument on the Stability of the Hydrogen Atom According to Quantum Mechanics, Foundations of Physics, submitted.

1. R. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, September 2001 Edition, BlackLight Power, Inc., Cranbury, New Jersey, Distributed by Amazon.com; January 2003 Edition posted at [www.blacklightpower.com](http://www.blacklightpower.com); Chps. 35-37.

The flawed argument given by Krieg was originally by Feynman, whom Krieg fails to reference. Feynman is incorrect in his treatment of the HUP as a physical principle separate from the postulated SE since it arises purely mathematically from the SE. Feynman incorrectly uses the HUP to determine the momentum of the bound electron. Error in the momentum and position is not the same as the momentum and position as

incorrectly asserted by Feynman. Furthermore, the angular momentum of the electron from the SE is zero, not  $\hbar$  as incorrectly asserted by Feynman (even ignoring the factor of 2 error using the correct equation for the HUP). These inescapable facts invalidate the argument. A further failing is that according to the SE, the electron must go closer to the nucleus than the Bohr radius. The opposite is claimed by Feynman. In fact, the electron must exist in the nucleus since the wave function is a maximum there.

Feynman is also incorrect about the HUP being a physical law that can not be avoided. An experimental method that avoids the HUP has been found, and the long held and taught view that the HUP is the physical basis of the wave-particle duality nature of the electron has been experimentally disproved.<sup>111</sup> These are just a few of the fatal flaws in the Feynman argument as given in:

80. R. L. Mills, The Fallacy of Feynman's Argument on the Stability of the Hydrogen Atom According to Quantum Mechanics, Foundations of Physics, submitted. The abstract follows:

#### Abstract

Recently published data showing that the Rydberg series extends to lower states in a catalytic plasma reaction [R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542] has implication for the theoretical basis of the stability of the hydrogen atom. The hydrogen atom is the only real problem for which the Schrödinger equation can be solved without approximations; however, it only provides three quantum numbers—not four, and inescapable disagreements between observation and predictions arise from the later postulated Dirac equation as well as the Schrödinger equation. Furthermore, unlike physical laws such as Maxwell's equations, it is always disconcerting to those that study quantum mechanics (QM) that the particle-wave equation and the intrinsic Heisenberg Uncertainty Principle (HUP) must be accepted without any underlying physical basis for fundamental observables such as the stability of the hydrogen atom in the first place. In this instance, a circular argument regarding definitions

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<sup>111</sup> See S. Durr, T. Nonn, G. Rempe, Nature, September 3, (1998), Vol. 395, pp. 33-37 with R. L. Mills, "The Hydrogen Atom Revisited", Int. J. of Hydrogen Energy, Vol. 25, Issue 12, December, (2000), pp. 1171-1183; R. L. Mills, The Nature of Free Electrons in Superfluid Helium—a Test of Quantum Mechanics and a Basis to Review its Foundations and Make a Comparison to Classical Theory, Int. J. Hydrogen Energy, Vol. 26, No. 10, (2001), pp. 1059-1096; R. L. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, Sept. 2001 Ed., BlackLight Power, Inc., Cranbury, NJ, Distributed by Amazon.com; July 2003 Ed. posted at <http://www.blacklightpower.com/bookdownload.shtml>, Foreword and Chp 37.

for parameters in the wave equation solutions and the Rydberg series of spectral lines replaces a first-principles-based prediction of those lines. It is shown that the quantum theories of Bohr, Schrodinger, and Dirac provide no intrinsic stability of the hydrogen atom based on physics. An old argument from Feynman based on the HUP is shown to be internally inconsistent and fatally flawed. This argument further brings to light the many inconsistencies and shortcomings of QM and the intrinsic HUP that have not been reconciled from the days of their inception. The issue of stability to radiation needs to be resolved, and the solution may eliminate of some of the mysteries and intrinsic problems of QM.

In contrast to QM, Applicant's classical quantum mechanics (CQM) does provide that the electron is not in the nucleus and that there is a minimum energy state that is not infinite. From 1. R. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, September 2001 Edition, BlackLight Power, Inc., Cranbury, New Jersey, Distributed by Amazon.com; July 2003 Edition posted at [www.blacklightpower.com](http://www.blacklightpower.com) where the references are those in this section:

### NEW "GROUND" STATE

Hydrogen atoms can undergo transitions to energy states below the  $n = 1$  state until the potential energy of the proton is converted to kinetic energy and total energy (the negative of the binding energy), and a state is formed which is stable to both radiation and nonradiative energy transfer. The potential energy  $V$  of the electron and the proton separated by the radial distance radius  $r_1$  is,

$$V = \frac{-e^2}{4\pi\epsilon_0 r_1} \quad (5.72)$$

where the radius  $r_1$  is the proton radius given by Eq. (28.1)

$$r_p = 1.3 \times 10^{-15} \text{ m} \quad (5.73)$$

Substitution of Eq.(5.73) into Eq.(5.72) gives the total potential energy  $V$  of the electron and the proton

$$V = \frac{-e^2}{4\pi\epsilon_0 r_p} = 1.1 \times 10^6 \text{ eV} \quad (5.74)$$

In the present case of an inverse squared central field, the binding energy and the kinetic energy are each equal to one half the potential energy [18] in the electron frame, and the lab-frame relativistic correction is given by correcting the radius as given in the Special Relativistic Correction to the Ionization Energies section. The relativistic invariance of the magnetic moment  $\mu_B$  and angular momentum  $\hbar$  of the electron may be used to characterize the limiting  $v = c$  case as shown in the Atoms and

Molecules—Determination of Orbitalsphere Radii,  $r_n$  section. Considering the consequences of special relativity, the size of a hydrogen atom in the true ground state is significantly larger than the size of a muonic atom and is limited not to be less than  $\lambda$ , the electron Compton wavelength bar,

$$\lambda' = r' = \frac{\hbar}{m_e c} = \alpha a_0 \quad (5.75a)$$

$$\lambda = r = \frac{\hbar}{\gamma m_e c} = \frac{\alpha a_0}{2\pi} = 6.14 \times 10^{-14} m \quad (5.75b)$$

since the tangential electron velocity (Eq. (1.56)) is the speed of light at this radius. Eq. (1.56) and Eq. (1.223) gives the relationship between the electron speed and the speed of light which gives the limit on the quantum state  $p$  as

$$\frac{v}{c} = \alpha p Z \quad p = 1, 2, 3... \quad (5.76)$$

With  $Z = 1$ ,  $p \leq 137$  due to the limiting speed of light. In Eq. (5.75a)  $\lambda'$  is the radius in the electron frame, and  $\lambda$  in Eq. (5.75b) is the radius in the laboratory frame according to Eq. (1.249). From Eq. (5.75b), the proton radius given by Eq. (5.73) can not be reached.

Lorentzian transformations of special relativity apply for inertial frames moving at constant rectilinear relative velocity, and the relativistic correction applies only to the direction of relative motion, not the perpendicular direction. Mass in a circular orbit is constantly accelerating. As shown in the "SPACETIME FOURIER TRANSFORM OF THE ELECTRON FUNCTION" section and the Special Relativistic Correction to the Ionization Energies section, at light speed, in the laboratory inertial frame, there can be no motion transverse to the radius. The radial projection of the time harmonic motion of a point charge element of a great circle becomes equivalent to a time harmonic oscillator moving along an axis of distance  $2r_n$  in the direction of  $\hat{r}$ . No radiation is possible. This result is also analogous to the case of a nonradiative harmonically expanding and contracting sphere as given by Abbott and Griffiths [19], Schott [20] and Pearle [21-22]. Nonradiative energy transfer is also forbidden since this requires conservation of angular momentum of the electron and the photon standing wave, and also no coupling mechanism exists in this case. Electronic transitions below the  $H\left[\frac{a_H}{\alpha^{-1}}\right]$  state are not possible since no energy transfer mechanism is possible.

There are many problems with the QM-free electron such as the prediction of infinite angular momentum and infinite rotational energy, as well as the prediction that the free electron wave function is sinusoidal over all space and is nonintegrable; thus, it

is nonsensical as discussed previously.<sup>112</sup> In contrast, the CQM-free electron given in Chp 3 of reference No. 1 identically matches experimentation. Zimmerman is mistaken in his read of Applicant's theory. In Chp. 3 of reference No. 1 appears:

In this case, the angular frequency  $\omega_z$  is given by

$$\omega_z = \frac{\hbar}{m_e \rho_0^2} \quad (3.33)$$

which conserves the electron's angular momentum of  $\hbar$  relative to its center of mass as shown by Eq. (1.57). The direction of the angular momentum and the corresponding magnetic moment of  $\mu_B$  can change orientation with the application of a magnetic field.

The free electron is unpolarized. The center of mass of the electron propagates at the original constant velocity  $v_z$  in Eq. (3.2). The magnetic moment corresponding to the angular momentum along the z-axis results in the alignment of the z-axis of the free electron with the magnetic field.

The spin axis is independent of the direction of propagation, as given in Chp 3 of reference No. 1 and communicated to Zimmerman in Applicant's attached response posted to the same hydrino study group in Sept. (2001). [Attachment I] In an unprofessional manner, Zimmerman posted his flawed criticism of Applicant's theory despite Applicant pointing out Zimmerman's mistake in previous posts.

This comes as no surprise given Zimmerman's public statement of his intention to "stab a knife into the heart of CQM," which is improper behavior for a scientist. Indeed, Dr. Zimmerman recently admitted that he is not objective when it comes to commenting on Dr. Mills' theory. [See P. Zimmerman post on 2/23/04 (Attachment H)] Furthermore, Zimmerman's competence is called into question given his many outlandish statements and positions posted to this group such as "conservation of energy as a formal concept is quite modern." [P. Zimmerman post on 5/21/03 (Attachment H)] and his lack of understanding of the basic concepts of Maxwell's equations [as summarized in R. Mills post on 5/23/03 (Attachment I)].

Applicant once again points out that while this exercise in competing theories may be intellectually stimulating, the Committee would be more productive if it

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<sup>112</sup> Reference Nos. 5, 17, and 94.



considered Applicant's experimental evidence using proper standards, rather than trying to protect its own fatally flawed Quantum Theory.

### **The Committee's Argument Regarding the Polarization of a Beam of Moving Electrons is Off Base**

On page 2 of the present Office Action, the Committee notes Applicant's request that it consider his rebuttal comments to the paper posted by Peter Zimmerman. According to the Committee, "[t]his rebuttal (Attachment I) has been reviewed, but does not address the point made in the previous office action that a beam of moving electrons, all behaving as theorized by applicant, would have their spin axes all polarized in the same direction, while in reality, electron beams most commonly exhibit random polarization, i.e., their spin axes do not all line up with their direction of motion."

That statement is not true. Applicant did address the point, and repeats it here:

Applicant's classical-quantum-mechanical free electron is not required to be polarized as erroneously alleged by the Committee on page 4 of the previous Office Action in citing Dr. Zimmerman and Krieg. This point is specifically addressed in Mills' book. [See, R. L. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, January 2003 Edition posted at [www.blacklightpower.com](http://www.blacklightpower.com)] In Chp. 3 appears:

### **STERN-GERLACH EXPERIMENT**

The Stern Gerlach experiment demonstrates that the magnetic moment of the electron can only be parallel or antiparallel to an applied magnetic field. This implies a spin quantum number of  $1/2$  corresponding to an angular momentum on the z-axis of  $\frac{\hbar}{2}$ . However, the Zeeman splitting energy corresponds to a magnetic moment of a Bohr magneton  $\mu_B$  and implies an electron angular momentum on the z-axis of  $\hbar$ —twice that expected. This in turn implies that the gyromagnetic ratio is twice that expected for a classical magnetic moment generated by a current loop. Historically, this dilemma was felt to be inexplicable and could only be resolved by purely mathematical approaches rather than physics. It is shown *infra*. that this is not the case. The Stern-Gerlach results are completely predictable from first principles, and the results are intuitive.

Consider the case of a magnetic field applied to the free electron. The free electron arises during pair production and ionization. In both cases, the production photon or the ionizing photon carries  $\hbar$  of angular

momentum. The derivations of the parameters of the free electron given *supra*. were made with the conservation of the photon angular momentum implicit. The vector and scalar parameters of the bound electron in a magnetic field given in the Spin Angular Momentum of the Orbitsphere with  $\ell = 0$  and Magnetic Parameters of the Electron (Bohr Magneton) Stern-Gerlach Experiment sections are also conserved in the case of a free electron in a magnetic field. The linear velocity of the free electron can be considered to be due to absorption of photons that excite surface currents corresponding to a decreased de Broglie wavelength where the free electron is equivalent to a continuum excited state with conservation of the parameters of the bound electron discussed *supra*. The relationship between the electron wavelength and the linear velocity is

$$\frac{\lambda}{2\pi} = \rho_o = \frac{\hbar}{m_e v_z} = k^{-1} = \frac{v_z}{\omega_z} \quad (3.32)$$

In this case, the angular frequency  $\omega_z$  is given by

$$\omega_z = \frac{\hbar}{m_e \rho_o^2} \quad (3.33)$$

which conserves the electron's angular momentum of  $\hbar$  relative to its center of mass as shown by Eq. (1.57). The direction of the angular momentum and the corresponding magnetic moment of  $\mu_B$  can change orientation with the application of a magnetic field.

The free electron is unpolarized. The center of mass of the electron propagates at the original constant velocity  $v_z$  in Eq. (3.2). The magnetic moment corresponding to the angular momentum along the z-axis results in the alignment of the z-axis of the free electron with the magnetic field. Lenz's law gives rise to small precession current comprising an azimuthal current in the plane of the lamina that opposes the applied field as given for the bound electron in Box 1.2. The precession frequency is the Larmor frequency given by the product of the gyromagnetic ratio of the electron,  $\frac{e}{2m}$ , and the magnetic flux  $B$  [10]. The

precessing electron can interact with a resonant photon that gives rise to Zeeman splitting—energy levels corresponding to parallel or antiparallel alignment of the electron magnetic moment with the magnetic field. The energy of the transition between these states is that of the resonant photon. The angular momentum of the precessing electron comprises the initial  $\hbar$  projection on the z-axis. As shown in the Excited States of the One-Electron Atom (Quantization) section, conservation of the angular momentum of the photon of  $\hbar$  gives rise to  $\hbar$  of electron angular momentum. The parameters of the photon standing wave for the Zeeman effect of the free electron follow from those of the bound electron given in the Magnetic Parameters of the Electron (Bohr Magneton) section and Box 1.2.

Accordingly, it is quite clear from the above that Applicant never stated or implied that "randomly polarized electron beams cannot exist." Applicant's theory fully accounts for the observed reality of randomly polarized electron beams.

Applicant's theory predicted the formation of lower-energy hydrogen and Applicant then followed that theory to actually produce the lower-energy hydrogen technology presently claimed. No such prediction and confirming formation of predicted product has ever resulted from Quantum Theory. In fact, Quantum Theory continues to predict and look for nonsensical manifestations like virtual particles and multiple dimensions.

The Committee further argues that "[w]hile applicant faults the Zimmerman paper as not being peer-reviewed, which may be true, the cited section refers to applicant's own book, and thus only considers the implications of applicant's own theory." The fact, however, that Zimmerman refers to Applicant's own book and theory does not relieve the Committee of the duty to live up to the same standards that it imposed on Applicant and thus, to dismiss the Zimmerman paper for not having been properly peer-reviewed as were Applicant's papers.

### **The Committee Fails to Understand the Basic Concept That the Electron's Frame is an Inertial Frame**

On page 3 of the present Office Action, the Committee notes that Applicant's theory predicts a "new ground state" defined by the radius of the electron "orbitsphere" that occurs where the speed of the electron, which increases with the increasing  $p$  value, would be limited by the speed of light. The Committee argues that "this is not persuasive because applicant applies Lorentzian transformations for inertial frames to the electron, which is not an inertial frame." That argument, however, is nonsensical and unsupported by experimental evidence.

The electron's frame is an inertial frame. The electron moves in an orbit relative to the laboratory frame. Time dilation of muonic decay due to motion in a cyclotron orbit relative to a stationary laboratory frame provides strong confirmation of special relativity and confirms Applicant's use of the electron frame as an inertial frame. Furthermore, the results of Applicant's treatment of the electron motion relative to the laboratory frame is in excellent agreement with numerous experimental observables such as the electron  $g$  factor, the invariance of the electron magnetic moment of  $\mu_B$  and angular momentum of  $\hbar$ , the fine structure of the hydrogen atom, and the relativistically

corrected ionization energies of one and two electron atoms as given in Ref [1]: R. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, January 2004 Edition posted at [www.blacklightpower.com](http://www.blacklightpower.com); Chps. 1, 2, and 7.

### **The Committee's Arguments Regarding Krieg Are Erroneous**

The Committee is also incorrect regarding Applicant's critique of Krieg's reliance on Feynman based on the fact that the angular momentum of the electron from the SE is zero, not Planck's constant as argued by Feynman. The Committee states that it is not persuaded, "because the calculation shown by Krieg does not deal with angular momentum, but simple momentum, as given by the formula  $p=mv$ ." [See Office Action at p. 3]

The Committee is simply mistaken. Krieg and Feynman (in the original argument) are referring to the angular momentum of an electron in an orbit maintained by the central electrostatic potential of the proton of a hydrogen atom.

From Ref. [80]:

Feynman based his derivation on the determination of the momentum as  $p \approx h/a$  from the HUP wherein he argues, "We need not trust our answer to within factors like 2,  $\pi$ , etc. We have not even defined  $a$  very precisely." The kinetic energy follows classically from the momentum, and the electrostatic energy is given classically to give the total energy as

$$E = h^2 / 2ma^2 - e^2 / a \quad (4)$$

Feynman determined the minimum energy in order to solve for the radius of the hydrogen atom.

$$dE / da = -h^2 / ma^3 + e^2 / a^2 = 0 \quad (5)$$

The result is exactly the Bohr radius.

2.) Eq. (3) follows from the Schrödinger equation, not the Bohr theory. In the time independent Schrödinger equation, the kinetic energy of rotation  $K_{rot}$  is given by [19]

$$K_{rot} = \frac{\ell(\ell+1)\hbar^2}{2mr^2} \quad (11)$$

where

$$L = \sqrt{\ell(\ell+1)}\hbar \quad (12)$$

is the value of the electron angular momentum  $L$  for the state  $Y_{lm}(\theta, \phi)$ <sup>113</sup>. For the  $n=1$  state,  $\ell = 0$ ; thus, **the angular momentum according to the Schrodinger equation is exactly zero—not  $\hbar$** . Furthermore, the kinetic energy of rotation  $K_{rot}$  is also **zero**. As a consequence, it is internally inconsistent for Feynman to accept the HUP which arises from the Schrodinger equation on the one hand and that the electron obeys the classical Coulomb law and is bound in an inverse squared Coulomb field on the other. Rather than a kinetic energy of  $\frac{\hbar^2}{2mr^2}$  which is added to the Coulomb energy of  $-\frac{e^2}{r}$  to get the total energy, exactly zero should be added to the Coulomb energy. This is an inescapable nonsensical result which arises from the SE directly, and it can not be saved by incorrectly assigning the angular momentum as  $\hbar$  from the uncertainty relationship. Furthermore, the result that  $L = K_{rot} = \text{exactly zero}$  **violates the HUP making the argument further internally inconsistent**. In addition, applying Eq. (3) to spherical harmonic solutions for  $\Psi$  with an exact momentum and energy for a given  $\ell$  in Eqs. (11) and (12), respectively, requires that  $\Delta\theta \rightarrow \infty$  since  $\Delta L = 0$  in the relationship  $\Delta L \Delta\theta \geq \frac{\hbar}{2}$ . The result  $\Delta\theta \rightarrow \infty$  is nonsensical. Postulating a linear combination of spherical harmonic is not consistent with a single momentum state and will not save the HUP since the linear combination is not an eigenfunction. Rather it a wavefunction of a set that is not orthonormal (i.e. it violates QM postulates by not yielding the Kroenecker delta).

Furthermore, taking the Committee's argument that the electron's linear momentum is considered, rather than the angular momentum, leads to the same internal inconsistency. It is trivial that the linear and angular momenta are related by the Bohr radius which is nonzero.

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<sup>113</sup> At page 365 Margenau and Murphy [19] state:

but with the term  $\frac{\ell(\ell+1)\hbar^2}{2mr^2}$  added to the normal potential energy. What is the meaning of that term? In classical mechanics, the energy of a particle moving in three dimensions differs from that of a one-dimensional particle by the kinetic energy of rotation,  $\frac{1}{2}mr^2\omega^2$ . This is precisely the quantity  $\frac{\ell(\ell+1)\hbar^2}{2mr^2}$ , for we have seen that  $\ell(\ell+1)\hbar^2$  is the *certain* value of the square of the angular momentum for the state  $Y_\ell$ , in classical language  $(mr^2\omega^2)^2$  which is divided by  $2mr^2$ , gives exactly the kinetic energy of rotation.

Thus, the linear momentum according to both Feynman and Krieg from Eq. (12) and  $p \approx h/a$  is

$$p = \frac{L}{a} = \frac{\sqrt{\ell(\ell+1)}\hbar^2}{a}$$

which is zero for  $n = 1$ ,  $\ell = 0$ ; not a finite  $p \approx h/a$  required for Eqs. (4-5).

The Committee's misunderstanding of Krieg is also apparent by its argument on page 3 of the present Office Action that, "Krieg does not allege that the electron cannot move closer to the nucleus than the Bohr radius, only that the spherical location defined by the Bohr radius is the place where an electron will have it minimum energy." The Committee is, once more, clearly mistaken. The derivation by Krieg gives exactly the Bohr radius. Eqs. (4-5) do not give any other possibilities.

The Committee continues on page 3 of the Office Action by stating that, "in order for electron angular momentum to be zero, its speed around the nucleus would have to be zero (since an electron has mass, and thus angular momentum is proportional to angular velocity). In this case, Applicant agrees with the Committee that an inescapable result of quantum mechanics is that the speed and kinetic energy of the electron around the nucleus are both zero for  $n = 1$ ,  $\ell = 0$  since the angular momentum is given by

$$L = \sqrt{\ell(\ell+1)}\hbar^2$$

and the kinetic energy of rotation  $K_{rot}$  is given by

$$K_{rot} = \frac{\ell(\ell+1)\hbar^2}{2mr^2}$$

as shown in Ref. [80]. However, because this is not the case experimentally, quantum mechanics is shown to be fatally flawed.

The Committee further claims on page 3 the Office Action that "[t]his contradicts applicants' position that an electron would have increasing speed with increasing p values, since this position implies that the electron is in motion around the nucleus, and thus has angular momentum." Once again, however, the Committee is confusing a fatal flaw of quantum mechanics with Applicant's derivation of the electron velocity as a function of the electron radius given by

$$v_n = \frac{\hbar}{m_e r_n} \tag{1.56}$$

in Ref. [1] which correctly gives an increasing speed as the radius decreases.

**The Committee Is At Odds With Einstein and Undercuts Its Own Position In Arguing that Faster Than Light Influences Are Possible**

On page 3 of the present Office Action, the Committee states that “[t]he Office does not take the position that faster than light travel has been proven, or is even possible. The office position is that under certain conditions, faster than light *influences* are possible, according to Dennis (“Hidden Variables...”), cited in paper no. 33, as reference “X” on the first page of the PTO-892 attached thereto.” That statement, however, undercuts the Committee’s position, as it seeks to have it both ways.

Faster-than-light influences predicted by quantum mechanics violates special reality, as shown by Einstein and others [A. Einstein, B. Podolsky, N. Rosen, Phys. Rev., Vol. 47, (1935), p. 777]. Also see Ref. [102]. In the EPR paper, Einstein further shows that the existence of hidden variables is based on deterministic physics and is in opposition to the probabilistic nature of quantum particles. The existence of hidden variables disproves quantum mechanics, which contradicts the Committee’s position that quantum mechanics is the correct description of reality for atomic particles. The issues of spooky action at a distance and local hidden variable theories are discussed in detail in Chp. 37 of Ref. [1].

**The Committee Again Ignores the Implications of Quantum Theory in Its Arguments Regarding Tegmark and Wheeler**

On page 3 of the present Office Action, the Committee criticizes Applicant for arguing that the various technologies mentioned by Tegmark *et al.* do not necessarily depend on the probability wave equations for their existence, and for faulting Tegmark and co-author Wheeler for relying on the human mind to collapse the quantum wave function to make these things, and the universe itself real. According to the Committee, “[t]he Office does not adopt Wheeler’s belief that the human mind makes these things real, but only that the phenomena underlying these inventions are understandable according to quantum mechanics.”

Once again, the Committee tries to have it both ways. It can not uphold that quantum mechanics is the correct description of reality without dealing with the physical meaning of the wave function. Quantum mechanics (QM) has remained mysterious to all who have encountered it. Starting with Bohr and progressing into the present, the departure from intuitive, physical reality has widened. The connection between quantum mechanics and reality is more than just a "philosophical" issue. It reveals that quantum mechanics is not a correct or complete theory of the physical world and that inescapable internal inconsistencies and incongruities arise when attempts are made to treat it as a physical as opposed to a purely mathematical "tool." Some of these issues are discussed in a review by Laloë [F. Laloë, Do we really understand quantum mechanics? Strange correlations, paradoxes, and theorems, Am. J. Phys. 69 (6), June 2001, 655-701].

From Ref. [58]:

The hydrogen atom is the only real problem for which the Schrödinger equation can be solved without approximations; however, it only provides three quantum numbers—not four, and inescapable disagreements between observation and predictions arise from the later postulated Dirac equation as well as the Schrödinger equation [3-5]. Furthermore, unlike physical laws such as Maxwell's equations, it is always disconcerting to those that study quantum mechanics that both must be accepted without any underlying physical basis for fundamental observables such as the stability of the hydrogen atom in the first place. In this instance, a circular argument regarding definitions for parameters in the wave equation solutions and the Rydberg series of spectral lines replaces a first-principles-based prediction of those lines [3-5]. Nevertheless, the application of the Schrödinger equation to real problems has provided useful approximations for physicists and chemists. Schrödinger interpreted  $e\Psi^*(x)\Psi(x)$  as the charge-density or the amount of charge between  $x$  and  $x + dx$  ( $\Psi^*$  is the complex conjugate of  $\Psi$ ). Presumably, then, he pictured the electron to be spread over large regions of space. After Schrödinger's interpretation, Max Born, who was working with scattering theory, found that this interpretation led to inconsistencies and he replaced the Schrödinger interpretation with the probability of finding the electron between  $x$  and  $x + dx$  as



$$\int \Psi(x) \Psi^*(x) dx \quad (1)$$

Born's interpretation is generally accepted. Nonetheless, interpretation of the wave function is a never-ending source of confusion and conflict. Many scientists have solved this problem by conveniently adopting the Schrödinger interpretation for some problems and the Born interpretation for others. This duality allows the electron to be everywhere at one time—yet have no volume. Alternatively, the electron can be viewed as a discrete particle that moves here and there (from  $r = 0$  to  $r = \infty$ ), and  $\Psi \Psi^*$  gives the time average of this motion. Despite its successes, after decades of futility, QM and the intrinsic Heisenberg Uncertainty Principle have not yielded a unified theory, are still purely mathematical, and have yet to be shown to be based in reality [5]. Both are based on circular arguments that the electron is a point with no volume with a vague probability wave requiring that the electron have multiple positions and energies including negative and infinite energies simultaneously. It may be time to revisit the 75 year old notion that fundamental particles such as the electron are one or zero dimensional and obey different physical laws than objects comprised of fundamental particles and the even more disturbing view that fundamental particles don't obey physical laws—rather they obey mathematics devoid of physical laws. Perhaps mathematics does not determine physics. It only models physics.

The Schrödinger equation was originally postulated in 1926 as having a solution of the one electron atom. It gives the principal energy levels of the hydrogen atom as eigenvalues of eigenfunction solutions of the Laguerre differential equation. But, as the principal quantum number  $n \gg 1$ , the eigenfunctions become nonsensical since they are sinusoidal over all space; thus, they are nonintegrable, can not be normalized, and are infinite [6]. Despite its wide acceptance, on deeper inspection, the Schrödinger equation solution is plagued with many failings as well as difficulties in terms of a physical interpretation that have caused it to remain controversial since its inception. Only the one electron atom may be solved without approximations, but it fails to predict electron spin and leads to models with nonsensical consequences such as negative energy states of the vacuum, infinities, and negative kinetic energy. In addition to many predictions, which simply do not agree with observations, the Schrödinger equation and succeeding extensions predict noncausality, nonlocality, spooky actions at a distance or quantum telepathy, perpetual motion, and many internal inconsistencies where contradicting statements have to be taken true simultaneously [3-5].

It was reported previously [5] that the behavior of free electrons in superfluid helium has again forced the issue of the meaning of the wavefunction. Electrons form bubbles in superfluid helium which reveal that the electron is real and that a physical interpretation of the wavefunction is necessary. Furthermore, when irradiated with light of energy of about a 0.5 to several electron volts [7], the electrons carry current at different rates as if they exist with different sizes. It has been proposed that the behavior of free electrons in superfluid helium can be explained in terms of the electron breaking into pieces at superfluid helium temperatures [7]. Yet, the electron has proven to be indivisible even under particle accelerator collisions at 90 GeV (LEP II). The nature of the wavefunction needs to be addressed. It is time for the physical rather than the mathematical nature of the wavefunction to be determined.

From the time of its inception, quantum mechanics (QM) has been controversial because its foundations are in conflict with physical laws and are internally inconsistent. Interpretations of quantum mechanics such as hidden variables, multiple worlds, consistency rules, and spontaneous collapse have been put forward in an attempt to base the theory in reality. Unfortunately many theoreticians ignore the requirement that the wave function must be real and physical in order for it to be considered a valid description of reality. For example, regarding this issue Fuchs and Peres believe [8] "Contrary to those desires, quantum theory does *not* describe physical reality. What it does is provide an algorithm for computing *probabilities* for macroscopic events ("detector ticks") that are the consequences of our experimental interventions. This strict definition of the scope of quantum theory is the only interpretation ever needed, whether by experimenters or theorists".

With Penning traps, it is possible to measure transitions including those with hyperfine levels of electrons of single ions. This case can be experimentally distinguished from statistics over equivalent transitions in many ions. Whether many or one, the transition energies are always identical within the resonant line width. So, *probabilities* have no place in describing atomic energy levels. Moreover, quantum theory is incompatible with probability theory since it is based on underlying unknown, but determined outcomes as discussed previously [5].

The Copenhagen interpretation provides another meaning of quantum mechanics. It asserts that what we observe is all we can know; any speculation about what an electron, photon, atom, or other atomic-sized entity is really or what it is doing when we are not looking is just that—speculation. The postulate of quantum measurement asserts that the process of measuring an observable forces it into a state of reality. In other words, reality

is irrelevant until a measurement is made. In the case of electrons in superfluid helium, the fallacy with this position is that the "ticks" (migration times of electron bubbles) reveal that the electron is real before a measurement is made. Furthermore, experiments on transitions on single ions such as  $Ba^+$  in a Penning trap under continuous observation demonstrate that the postulate of quantum measurement of quantum mechanics is experimentally disproved as discussed previously [5, 9]. These issues and other such flawed philosophies and interpretations of experiments that arise from quantum mechanics were discussed previously [3-5].

QM gives correlations with experimental data. It does not explain the mechanism for the observed data. But, it should not be surprising that it gives good correlations given that the constraints of internal consistency and conformance to physical laws are removed for a wave equation with an infinite number of solutions wherein the solutions may be formulated as an infinite series of eigenfunctions with variable parameters. There are no physical constraints on the parameters. They may even correspond to unobservables such as virtual particles, hyperdimensions, effective nuclear charge, polarization of the vacuum, worm holes, spooky action at a distance, infinities, parallel universes, faster than light travel, etc. If you invoke the constraints of internal consistency and conformance to physical laws, quantum mechanics has never successfully solved a physical problem.

Throughout the history of quantum theory, wherever there was an advance to a new application, it was necessary to repeat a trial-and-error experimentation to find which method of calculation gave the right answers. Often the textbooks present only the successful procedure as if it followed from first principles; and do not mention the actual method by which it was found. In electromagnetic theory based on Maxwell's equations, one deduces the computational algorithm from the general principles. In quantum theory, the logic is just the opposite. One chooses the principle to fit the empirically successful algorithm. For example, we know that it required a great deal of art and tact over decades of effort to get correct predictions out of Quantum Electrodynamics (QED). For the right experimental numbers to emerge, one must do the calculation (i.e. subtract off the infinities) in one particular way and not in some other way that appears in principle equally valid. There is a corollary, noted by Kallen: from an inconsistent theory, any result may be derived.

Reanalysis of old experiments and many new experiments including electrons in superfluid helium challenge the Schrödinger equation predictions. Many noted physicists rejected quantum mechanics. Feynman also attempted to use first principles including

Maxwell's Equations to discover new physics to replace quantum mechanics [10]. Other great physicists of the 20th century searched. "Einstein [...] insisted [...] that a more detailed, wholly deterministic theory must underlie the vagaries of quantum mechanics" [11]. He felt that scientists were misinterpreting the data. These issues and the results of many experiments such as the wave-particle duality, the Lamb shift, anomalous magnetic moment of the electron, transition and decay lifetimes, experiments invoking interpretations of spooky action at a distance such as the Aspect experiment, entanglement, and double-slit-type experiments are shown to be absolutely predictable and physical in the context of a theory of classical quantum mechanics (CQM) derived from first principles [3-5]. Using the classical wave equation with the constraint of nonradiation based on Maxwell's equations, CQM gives closed form physical solutions for the electron in atoms, the free electron, and the free electron in superfluid helium which match the observations without requiring that the electron is divisible. Moreover, unification of atomic and large scale physics the ultimate objective of natural theory is enabled. CQM holds over a scale of spacetime of 85 orders of magnitude—it correctly predicts the nature of the universe from the scale of the quarks to that of the cosmos.

These issues are further discussed in the following Applicant references:

102. R. L. Mills, "Exact Classical Quantum Mechanical Solutions for One- Through Twenty-Electron Atoms", Physics Essays, submitted.
80. R. L. Mills, The Fallacy of Feynman's Argument on the Stability of the Hydrogen Atom According to Quantum Mechanics, Foundations of Physics, submitted.
58. R. L. Mills, "Classical Quantum Mechanics", Physics Essays, in press.
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22. R. Mills, "The Grand Unified Theory of Classical Quantum Mechanics", Global Foundation, Inc. Orbis Scientiae entitled *The Role of Attractive and Repulsive Gravitational Forces in Cosmic Acceleration of Particles The Origin of the Cosmic Gamma Ray Bursts*, (29th Conference on High Energy Physics and Cosmology Since 1964) Dr. Behram N. Kursunoglu, Chairman, December 14-17, 2000, Lago Mar Resort, Fort Lauderdale, FL, Kluwer Academic/Plenum Publishers, New York, pp. 243-258.
21. R. Mills, "The Grand Unified Theory of Classical Quantum Mechanics", Int. J. Hydrogen Energy, Vol. 27, No. 5, (2002), pp. 565-590.

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5. R. Mills, "The Hydrogen Atom Revisited", Int. J. of Hydrogen Energy, Vol. 25, Issue 12, December, (2000), pp. 1171-1183.
4. R. L. Mills, "The Nature of the Chemical Bond Revisited and an Alternative Maxwellian Approach", J. Phys. D, submitted.
1. R. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, September 2001 Edition, BlackLight Power, Inc., Cranbury, New Jersey, Distributed by Amazon.com; January 2004 Edition posted at [www.blacklightpower.com](http://www.blacklightpower.com).

Ironically, as discussed in Ref. [102], the founders of quantum mechanics rejected the probabilistic nature of the electron with its inherent "spooky actions," which makes the Committee's argument illegitimate from the perspective of the highest authorities on the subject.

Furthermore, to credit quantum mechanics for inventions is unfounded. Quantum mechanics excludes the possibility of some established inventions, such as the laser. Regarding the "glorious technological success solely due to quantum mechanics," see

Tegmark and Wheeler at p. 69:

"The astonishing range of scientific and practical applications of quantum mechanics undergrids: today an estimated 30 percent of the U.S. gross national product is based on inventions made possible by quantum mechanics, from semiconductors in computer chips to lasers in compact-disc players, magnetic resonance imaging in hospitals, and much more."

It is true that technologies have been developed that are based on the phenomenon of quantization. But, it can not be said that these technologies would not exist if it were not for probability wave equations (i.e. the Schrodinger equation). This self grandeur of Wheeler is nonsense. According to Wheeler, not only technologies, but also the existence of the entire universe, is dependent on the human mind. In Wheeler's quantum mechanical view of reality, the existence of a computer, a CD player, or an MRI scanner relies upon the human mind to collapse the quantum wavefunction to make these objects real [See J. Horgan, "Quantum Philosophy", Scientific American, Vol. 276, July, (1992), pp. 94-104]. In reality, the

original transistor patent makes NO MENTION OF QUANTUM MECHANICS. It is based purely on empirical material science.

The invention of the transistor was based on phenomenology. The invention of the transistor is covered in Proceedings of the IEEE "Special Issue on the Fiftieth Anniversary of the Transistor", Vol. 86, No. 1, January, (1998). At page 34-36 of these Proceedings, Shockley's Patent is printed. That invention is not based on quantum mechanics. It is an engineering description of an amplifier based on properties of semiconductor materials arranged in a particular fashion.

There is no solution of the Schrodinger equation used in solid state physics. The discipline advances empirically and quantum mechanical hand-waving is added after a discovery. Examples include the quantum and integral Hall effects. Then there is the stifling of technology by quantum mechanics. For example, theoreticians violently insisted that high temperature superconductivity could not be possible since it violated BCS theory (incidentally a Noble prize was awarded for the DISCOVERY of high temperature superconductivity and the phenomenon can still not be explained by quantum mechanics theory). Also note, as stated by Weinstein below, that chemists have been impeded by quantum mechanics:

Letter to the Editor of Chemical and Engineering News, May 7, 1990.

#### Quantum theory

Sir: With regard to Richard C. Henry's review of the book, "The Tenth Dimension" (C&EN, Jan 22, page 27), I, for one, am tired of being bullied by physicists bearing the red herring of quantum theory—a failed theory if there ever was one. As was remarked by more than one chemist in these pages over the past two or three decades, literally man-centuries of work have been wasted trying to synthesize compounds that the quantum theory unequivocally states should be stable, only to find that the compounds do not exist in any form whatsoever.

Of course, the physics community itself is deeply divided over the validity of the Schrödinger equation with about half (as best I can judge) not believing that the equation is a correct, let alone a complete, representation of reality. Einstein was only the most famous of the physicists who dissented from the Schrödinger formulation—there are and were hordes of others, Louis de Broglie fought the theory through all the days of his life, though his famous equation was an integral part of its development.

As things have gone on through the years, the results have been an ever more bizarre progression of ideas and assertions that have finally culminated in what is simply solipsistic

nihilism—"nothing can exist except what I want to exist"—as grotesque as it is absurd. The next time you watch your TV screen, just imagine that it isn't being lighted up by accelerated electrons at all, just by your own desire.

There is nothing at all wrong with the idea of an electron orbiting around a proton—this is exactly what Bohr used to develop his original ideas, in very close agreement with experiment, and based on the redoubtable Coulomb's law. Aside from leading to all sorts of impossible conundrums and paradoxes, Schrödinger's equation does not—repeat not—predict all four quantum numbers (it misses spin altogether), and succeeds in only a few very special cases in predicting anything at all that can be subject to precise measurement. For these and many other reasons (including the destruction of the very logic of science itself), I repeat that legions of physicists have rejected the Schrödinger quantum formulation, believing at best that the correct and complete theory has yet to be worked out. (Score: a few select successes, and mountains of failures. Sensible theoretical chemists continue to shun quantum theory in droves.)

It is a shame that the educational experiences of most chemists do not permit them to evaluate, let alone see through, this welter of nonsense and confusion, and thus to send the infamous thing (quantum theory) back to its makers with an appropriate what on its bedraggled tail. You can see the result of this hodgepodge in any introductory chemistry text that you care to open. (Pace Voltaire!)

Although history cannot be altered, future curricula can be adjusted to help prevent another similar fiasco from occurring—or at least try.

Allan Weinstein  
Lawrence, Kan.

Then there is the laser. Stimulated emission started with Einstein as an additional term to empirically fit Planck's blackbody radiator curve. The laser is completely explained by Maxwell's equations using the mere empirical observation of quantized energy levels.

The invention of the laser was based more on classical physics applied to observed quantum phenomenon. The idea of stimulated emission originated in 1917 (ten years before the Schrodinger equation was postulated) when Einstein proposed that Planck's formula for blackbody radiation could be obtained from an ensemble of atoms with quantized energy levels that underwent stimulated as well as spontaneous emission [A. Einstein, Phys. Z, Vol. 18, (1917), 121]. This idea was used by Schawlow and Townes [A. L. Schawlow and C. H. Townes, Phys. Rev., (112), (1958), pp. 1940-1949] in an extension of classical microwave

resonator cavity theory to propose the extension of MASER techniques to visible wavelengths. (Masers were originally described classically given the phenomenon of quantization—not by using the Schrodinger equation.)

What is even more devastating to the QM argument is that the mere existence of the laser disproves quantum mechanics and the Heisenberg Uncertainty Principle as pointed out by Carver Meade, Gordon and Betty Moore Professor of Engineering and Applied Science at Caltech, Feynman's former student, colleague and collaborator, as well as Silicon Valley's physicist in residence and leading intellectual, who was recently interviewed on this subject ["The Interview Carver Meade", The American Spectator, September/October, (2001), [www.gilder.com/AmericanSpectatorArticles/carver.htm](http://www.gilder.com/AmericanSpectatorArticles/carver.htm)]:

Central to Mead's rescue project are a series of discoveries inconsistent with the prevailing conceptions of quantum mechanics. One was the laser. As late as 1956, Bohr and Von Neumann, the paragons of quantum theory, arrived at the Columbia laboratories of Charles Townes, who was in the process of describing his invention. With the transistor, the laser is one of the most important inventions of the twentieth century. Designed into every CD player and long distance telephone connection, lasers today are manufactured by the billions. At the heart of laser action is perfect alignment of the crests and troughs of myriad waves of light. Their location and momentum must be theoretically knowable. But this violates the holiest canon of Copenhagen theory: Heisenberg Uncertainty. Bohr and Von Neumann proved to be true believers in Heisenberg's rule. Both denied that the laser was possible. When Townes showed them one in operation, they retreated artfully.

In Collective Electrodynamics, Mead cites nine other experimental discoveries, from superconductive currents to masers, to Bose-Einstein condensates predicted by Einstein but not demonstrated until 1995. These discoveries of large-scale, coherent quantum phenomena all occurred after Bohr's triumph over Einstein.

Magnetic resonance is also described by Maxwell's equations. MRI is taught as the classical precession of the bulk magnetization vector in a frame rotating at the Larmor frequency due to the application of an applied RF field at the Larmor frequency wherein the bulk magnetization is due to the phenomenon of nuclear spin direction quantization [Patz, S., Cardiovasc Interv Radiol, (1986), 8:25, pp. 225-237]. The Schrodinger equation is not used, and the quantum theory of the nucleus, quantum chromodynamics (QCD), is an utter



failure in that it can not predict the existence of the proton and neutron or correctly account for the phenomenon of nuclear spin; whereas, CQM can. From first principles, CQM predicts the masses of the proton and neutron and their magnetic moments to within a part per hundred thousand of the observed values in closed form equations containing fundamental constants only [See R. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, January 2004 Edition, Proton and Neutron section].

Quantum mechanics has failed. It can not explain the most fundamental observations, such as the nature of a photon, the electron, the wave-particles duality nature of light and particles, the masses of particles, gravity, etc. It has been a complete failure at unification [See Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, January 2004 Edition, Forward, and Introduction Sections]. Theoreticians of quantum ilk have gone to great lengths to establish that Nobel prizes have been award in the pursuit of quantum mechanics. Quantum aficionados have been diligent at pointing out celebrities of quantum physics. Notably absent from the list are Newton, Einstein, and Maxwell. It doesn't matter how many theoreticians toil at trying to make quantum mechanics work or what fantasies they will tolerate in order to force it to work if it is based on a *false premise*. That false premise is that physical laws such as Maxwell's equations and Newton's laws with Einstein's special relativity do not apply at the atomic level. Physicists have justified the spookiness and absurd consequences of quantum mechanics on the basis that no theory based on physical laws can explain quantum phenomena, such as the quantized nature of light and atomic energy levels and the wave-particle duality. This is absolutely *not true* as shown by Mills [R. Mills, *The Grand Unified Theory of Classical Quantum Mechanics*, January 2004 Edition]. Classical laws work over 85 orders of magnitude of scale from that of elementary particles to that of the cosmos. Science is not a popularity contest, it is the endless search for the ultimate truth of the workings of the physical universe established by empirical observation (I.E. ESTABLISHED BY DIRECT EXPERIMENTATION). Solipsistic nihilism and self grandeur have no place in science.

And, consider the impact on technology. We could live without quantum mechanics and only accept that empirical result that atomic energy levels are quantized. Quantum mechanics was not even adopted in any serious fashion until well after the seeds were sown for the major technologies attributed to QM. In contrast, classical laws—Maxwell's equations and Newton's laws—which QM proponents argue against by advocating the mutually incompatible quantum mechanics—are ABSOLUTELY INDISPENSABLE FOR MODERN SOCIETY. They are absolutely predictive; whereas, quantum mechanics is NOT.

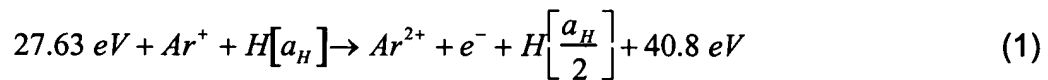
And, in contrast to Quantum mechanics, which has never predicted a single technology, CQM predicts novel hydrogen chemistry and power source that are now experimentally confirmed. The match between theoretical predictions and experimental observation is remarkable. The predicted technology could eclipse the value of those falsely attributed to QM and could in fact advance them significantly as shown in Applicant's laser and silicon hydride articles.

### **The Committee Still Misapprehends The Nature of Applicant's Invention**

On page 4 of the present Office Action, the Committee comments upon Applicant's invention and notes that the excited states are "caused by release of power, in a combustion flame and in his plasmas, in the latter case, the power being released by hydrogen atoms collapsing to form hydrinos." According to the Committee, "[t]his assumes that a hydrogen atom has more energy than the surrounding plasma components, thus enabling energy transfer from the hydrogen to these other components," and thus, "[i]t is unclear how an electron in a hydrogen atom, at  $n=1$ , has more energy than the electrons of ionized atoms, or the electrons which have been removed therefrom."

The Committee does not understand that the claimed exothermic reaction maintains the rt-plasma **in complete accord with the laws of thermodynamics**. The ionization fraction of the rt-plasma, like that of glow discharge plasmas, is low, about  $10^{-9}$  corresponding to an electron density of about  $n_e = 2 \times 10^9 \text{ cm}^{-3}$  determined using a Langmuir probe [54].

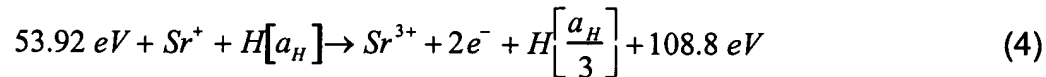
The catalysis reaction of argon is



And, the overall reaction is



The catalysis reaction of strontium is



And, the overall reaction is



These reaction are exothermic, and the energy released by forming lower-energy atomic hydrogen with energy levels given by:

$$E_n = -\frac{e^2}{n^2 8\pi\epsilon_0 a_H} = -\frac{13.598 \text{ eV}}{n^2} \quad (7a)$$

$$n = \frac{1}{2}, \frac{1}{3}, \frac{1}{4}, \dots, \frac{1}{p}; \quad p \text{ is an integer; } p \leq 137 \quad (7b)$$

is thermalized to maintain the plasma. The characteristic catalyst emission which confirms the reaction given by Eqs. (1-3) and Eqs. (4-6) are is observed. From the document entitled "**Lower-Energy Hydrogen Experimental Data**". Confirmation of that the rt-plasma is maintained by the exothermic hydrogen catalysis reaction is provided by

1.) the observation of intense extreme ultraviolet (EUV) emission at low temperatures (e.g.  $\approx 10^3 \text{ K}$ ) from atomic hydrogen and only those atomized elements or gaseous ions which provide a net enthalpy of reaction of approximately  $m \cdot 27.2 \text{ eV}$  via the ionization of  $t$  electrons to a continuum energy level where  $t$  and  $m$  are each an integer (e.g.  $K$  and  $Cs$  atoms and  $Rb^+$  and  $Sr^+$  ions ionize at integer multiples of the potential energy of atomic hydrogen and caused emission; whereas, the chemically similar atoms,  $Na$ ,  $Mg$ , and  $Ba$ , do not ionize at integer multiples of the potential energy of atomic hydrogen and caused no emission) [11-13, 15-16, 20, 24, 27, 32, 39, 42, 46-47, 51-52, 54-55, 57, 72, 81, 89, 91-93],

20.) the observation of continuum state emission of  $Cs^{2+}$  and  $Ar^{2+}$  at  $53.3 \text{ nm}$  and  $45.6 \text{ nm}$ , respectively, with the absence of the other corresponding Rydberg series of lines from these species which confirmed the resonant nonradiative energy transfer of  $27.2 \text{ eV}$  from atomic hydrogen to the either  $Cs$  or  $Ar^+$  catalyst [24, 39, 51, 54-55, 57, 91],

21.) the spectroscopic observation of the predicted hydride ion  $H^-(1/2)$  of hydrogen catalysis by either  $Cs$  or  $Ar^+$  catalyst at  $407 \text{ nm}$  corresponding to its predicted binding energy of  $3.05 \text{ eV}$  [24],

22.) the observation of characteristic emission from  $K^{3+}$  which confirmed the resonant nonradiative energy transfer of  $3 \cdot 27.2 \text{ eV}$  from atomic hydrogen to atomic  $K$  [27, 39, 42, 46, 51, 54-55, 57, 81, 89, 91],

23.) the spectroscopic observation of the predicted  $H^-(1/4)$  ion of hydrogen catalysis by  $K$  catalyst at  $110 \text{ nm}$  corresponding to its predicted binding energy of  $11.2 \text{ eV}$  [81, 42, 27],

24.) the observation of characteristic emission from  $Rb^{2+}$  which confirmed the resonant nonradiative energy transfer of  $27.2 \text{ eV}$  from atomic hydrogen to  $Rb^+$  [32, 39, 42, 46, 51, 54-55, 57, 81, 89, 91],

25.) the spectroscopic observation of the predicted  $H^-(1/2)$  ion of hydrogen catalysis by  $Rb^+$  catalyst at  $407 \text{ nm}$  corresponding to its predicted binding energy of  $3.05 \text{ eV}$  [32],

26.) the observation of  $H^-(1/2)$ , the hydride ion catalyst product of  $K^+ / K^+$  or  $Rb^+$ , at its predicted binding energy of  $3.0468 \text{ eV}$  by high resolution visible spectroscopy as a continuum threshold at  $4068.2 \text{ \AA}$  and a series of structured peaks separated from the binding energy by an integer multiple of the fine structure of  $H(1/2)$  starting at  $4071 \text{ \AA}$  that matched predicted free-free transitions [39, 42, 46, 57, 81, 89, 91],

27.) the observation that the high resolution visible  $K^+ / K^+$  or  $Rb^+ - H_2$  plasma emission spectra in the region of  $3995$  to  $4060 \text{ \AA}$  matched the predicted bound-free hyperfine structure lines  $E_{HF}$  of  $H^-(1/2)$  calculated from the electron  $g$  factor as  $E_{HF} = j^2 3.00213 \times 10^{-5} + 3.0563 \text{ eV}$  ( $j$  is an integer) for  $j=1$  to  $j=39$  ( $3.0563 \text{ eV}$  to  $3.1012 \text{ eV}$ —the hydride binding energy peak plus one and five times the spin-pairing energy, respectively) to within a 1 part per  $10^4$  [39, 42, 46, 57, 81, 89, 91],

28.)  $Rb^+$  or  $2K^+$  catalysts formed a plasma having strong VUV emission with a stationary inverted Lyman population with an overpopulation sufficient for lasing, and emission from  $H^-(1/2)$  was observed at  $4071 \text{ \AA}$  corresponding to its predicted binding energy of  $3.0468 \text{ eV}$  with the fine structure and its predicted bound-free hyperfine structure lines  $E_{HF} = j^2 3.00213 \times 10^{-5} + 3.0563 \text{ eV}$  ( $j$  is an integer) that matched for  $j=1$  to  $j=37$  to within a 1 part per  $10^4$  [39, 42, 46, 51, 54, 55, 57, 81, 89, 91],

46.) the observation of the characteristic emission from  $Sr^+$  and  $Sr^{3+}$  that confirmed the resonant nonradiative energy transfer of  $2 \cdot 27.2 \text{ eV}$  from atomic hydrogen to  $Sr^+$  [16, 52],

47.) the observation of anomalous plasmas formed with  $Sr$  and  $Ar^+$  catalysts at 1% of the theoretical or prior known voltage requirement with a light output per unit power input up to 8600 times that of the control standard light source [11, 16, 20, 23, 52, 72],

52.) the observation of significant Balmer  $\alpha$  line broadening of 17, 9, 11, 14, and 24  $\text{eV}$  from rt-plasmas of incandescently heated hydrogen with  $K^+ / K^+$ ,  $Rb^+$ , cesium, strontium, and strontium with  $Ar^+$  catalysts, respectively, wherein the results could not be explained by Stark or thermal broadening or electric field acceleration of charged species since the measured field of the incandescent heater was extremely weak, 1 V/cm, corresponding to a broadening of much less than 1  $\text{eV}$  [39, 42, 46, 51-52, 54-55, 57, 72, 81, 89, 91],

53.) calorimetric measurement of excess power of 20 mW/cc on rt-plasmas formed by heating hydrogen with  $K^+ / K^+$  and  $Ar^+$  as catalysts [39, 81, 89],

54.) the observation of rt-plasmas formed with strontium and argon at 1% of the theoretical or prior known voltage requirement with a light output per unit power input up to 8600 times that of the control standard light source as well as an excess power of 20 mW/cm from rt-plasmas formed by  $Ar^+$  as the catalyst in an incandescent-filament cell [72],

In the case of hydrogen Lyman emission due to plasma formation [11-13, 15-16, 20, 24, 27, 32, 39, 42, 46-47, 51-52, 54-55, 57, 72, 81, 89, 91-93], there is **no** EUV emission in the controls. The formation of a plasma at low temperature with low or no electric field requirement is a first and quite unexpected. The plasma formation only occurs for those systems where catalyst is present. The predicted catalyst emission is observed. The predicted novel hydride ion emission is observed, and novel chemical compounds are formed.

The plasma (rt-plasma) was independently replicated and alternative explanations were eliminated by top plasma physicists [47. H. Conrads, R. Mills, Th. Wrubel, "Emission in the Deep Vacuum Ultraviolet from a Plasma Formed by Incandescently Heating Hydrogen Gas with Trace Amounts of Potassium Carbonate", Plasma Sources Science and Technology, Vol. 12, (2003), pp. 389-395.]. Conrads et al. report:

### Abstract

A hydrogen plasma with intense extreme ultraviolet and visible emission was generated from low pressure hydrogen gas (0.1-1 mbar) in contact with a hot tungsten filament only when the filament heated a titanium dissociator coated with  $K_2CO_3$  above 750°C. The electric field strength from the filament was about 1 V/cm, two orders of magnitude lower than the starting voltages measured for gas glow discharges. The emission of the  $H_\alpha$  and  $H_\beta$  transitions as well as the  $L_\alpha$  and  $L_\beta$  transitions were recorded and analyzed. The plasma seemed to be far from thermal equilibrium, and no conventional mechanism was found to explain the formation of a hydrogen plasma by incandescently heating hydrogen gas in the presence of trace amounts of  $K_2CO_3$ . The temporal behavior of the plasma was recorded via hydrogen Balmer alpha line emission when all power into the cell was terminated, and an excessive afterglow duration (2 seconds) was observed. The plasma was found to be dependent on the chemistry of atomic hydrogen with potassium since no plasma formed with  $Na_2CO_3$  replacing  $K_2CO_3$  and the time constant of the emission following the removal of all of the power to the cell matched that of the cooling of the filament and the resulting shift from atomic to molecular hydrogen. Our results indicate that a novel chemical power source is present that forms the energetic hydrogen plasma that is a potential new light source.

The Committee has offered no plausible alternative explanation as to why a very energetic plasma should form with the heating of trace amounts of an inorganic compound and low pressure hydrogen gas. The Committee can not explain the existence of a hydrogen plasma when there is no power input to the cell.

The Committee's position that the existence of a plasma requires that only excited states, rather than the formation of lower-energy states, must occur is further erroneous based on observations of known power sources.

A combustion flame emits visible atomic emission corresponding to excited atomic electronic states. Thus, according to the Committee, a combustion flame does not release net power. In fact, the excited states are due to the power release. The same applies in the case of Applicant's invention.

Hydrogen plasmas sources in the prior Art that emit vacuum ultraviolet (VUV) are high voltage discharges, synchrotron devices, inductively coupled plasma generators [1], and magnetically confined plasmas. In contrast, Applicant has reported that intense VUV emission was observed at low gas temperatures (e.g.  $\approx 10^3$  K) from atomic hydrogen and certain atomized elements or certain gaseous ions comprising catalysts

of the present invention, which singly or multiply ionize at integer multiples of the potential energy of atomic hydrogen,  $27.2 \text{ eV}$  [2-9]. The presence of each of the reactants identified as providing an enthalpy of  $27.2 \text{ eV}$  formed the low applied temperature, extremely low voltage plasma in atomic hydrogen called a resonant transfer or rt-plasma having strong vacuum ultraviolet (VUV) emission. In contrast, magnesium and aluminum atoms or ions do not ionize at integer multiples of the potential energy of atomic hydrogen.  $\text{Mg}(\text{NO}_3)_2$  or  $\text{Al}(\text{NO}_3)_3$  did not form a plasma and caused no emission [3-5]. Anomalous afterglow durations of plasmas formed by catalysts providing a net enthalpy of reaction within thermal energies of  $m \cdot 27.28 \text{ eV}$  including hydrogen-potassium mixtures were observed [7-9]. Emission from rt-plasmas occurred even when the electric field applied to the plasma was zero [7-9].

Applicant's reaction of hydrogen to lower-energy states forms or maintains an energetic plasma. Extreme ultraviolet light as well as visible emission is emitted due to the energy release of the catalysis reaction rather than just visible light observed combustion flames.

## References

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8. R. Mills, "Temporal Behavior of Light-Emission in the Visible Spectral Range from a Ti-K<sub>2</sub>CO<sub>3</sub>-H-Cell", Int. J. Hydrogen Energy, Vol. 26, No. 4, (2001), pp. 327-332.
9. R. Mills, T. Onuma, and Y. Lu, "Formation of a Hydrogen Plasma from an Incandescently Heated Hydrogen-Catalyst Gas Mixture with an Anomalous Afterglow Duration", Int. J. Hydrogen Energy, Vol. 26, No. 7, July, (2001), pp. 749-762.

The Committee's argument demonstrates such a fundamental lack of understanding of Applicant's invention that it calls into question once again the make up and qualifications of the Committee members charged with examining this application. Furthermore, the Committee's own explanation violates the basic laws of thermodynamics, not Applicant's invention, as discussed above.

The Committee's failure to understand this process underlying Applicant's invention is truly astonishing. In summary, the Committee has it completely backwards in its false assumption that the plasma heats molecular hydrogen and, thereby, takes it to a higher energy level. In failing to recognize the source of energy for the plasma, i.e. the release of energy from dissociated hydrogen atoms that takes them to a lower energy level, the Committee improperly attempts to reconstruct Applicant's invention into a perpetual motion machine in which a plasma supposedly created from nothing heats molecular hydrogen to higher energy states.

**Protest of Secret Committee's Attack On the Credibility Of Applicant's Experimental Data Based On The False Premise That It Was Not Subject To Appropriate Review Or Published In Scientifically Qualified Journals**

Applicant is once again disappointed to learn that the Committee has turned its back on an agreed upon standard, this time involving its self-imposed requirement that Applicant publish his experimental data supporting the existence of lower-energy hydrogen in peer-reviewed scientific journals. [See pages 1-2 of the attached Appendix]



Incredibly, the Committee, on highly questionable grounds, summarily dismisses the entirety of that data. Applicant protests these arbitrary actions in the strongest terms possible and requests that the Committee reconsider its tenuous position.

To fully comprehend the unfairness of the Committee's dismissal of Applicant's scientific data, it should first be noted that it was the Committee that required Applicant, over his strenuous objections, to publish that data in peer-reviewed scientific journals. This requirement stemmed from an Interview held on February 21, 2001, during which Examiner Vasudevan Jagannathan refused to take seriously the data presented at the Interview because it had not been subjected to the peer-review process required by most scientific journals prior to publication. For instance, as discussed above, Examiner Jagannathan mischaracterized Applicant's highly reliable spectroscopic data as nothing more than a "bunch of squiggly lines."

Despite the fact that the Committee has never cited any authority to support its publication requirement, Applicant expended considerable effort—not to mention millions of research dollars—complying with it. Yet, now that Applicant has published his experimental data in over 50 technical papers appearing in a number of respected scientific journals, with another 50-plus papers soon to follow, Applicant is advised for the first time that those efforts were for naught.

In summarily invalidating all of Applicant's scientific evidence appearing in his submitted journal articles, the Committee first mischaracterizes the extent to which Applicant's articles have been peer reviewed. [See Souw Appendix to Pending Office Action at page 2.] For example, it incorrectly contends that the articles identified as Reference Nos. 2-5, 8-13, 15-23, 25, 26, 28-30, 34, 37, 47 and 48 "have not been peer reviewed (just submitted)."<sup>114</sup> Based on that mistaken belief, the Committee concludes that those articles "do not (yet) have the credibility that peer reviewed articles have." [Id.]

Applicant finds somewhat amusing the Committee's following statement that "[b]ecause of their fundamental flaws, [these articles] are not likely to pass the peer

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<sup>114</sup> The Committee should also recognize that the current, complete list of Applicant's peer-reviewed articles includes Reference Nos. 1-34, 37-38, 40-43, 45-52, 54, 56-57, 59-61, 63, 67, 69, 77, 81, and 90. Applicant expects many more of his submitted journal articles to also complete the peer-review process and be published despite efforts by Dr. Zimmerman to prevent such publication.

review process.” [Id.] Given that these and other cited articles have in fact passed the peer review process and, therefore, “have the credibility that peer reviewed articles have,” this application is in condition for allowance according to the Committee’s self-imposed standards.

The Committee further dismisses the totality of Applicant’s data, claiming that “(a) [t]hey are not published in scientifically qualified (e.g., refereed) journals.”<sup>115</sup> [See pages 1-2 of the attached Appendix]

Included among these supposedly unqualified journals in which Applicant’s experimental data appear are, for example:

Applied Physics Letters  
Chemistry of Materials  
Electrochimica Acta  
European Physical Journal: Applied Physics  
Fusion Technology  
IEEE Transactions on Plasma Science  
International Journal of Hydrogen Energy  
Journal of Applied Physics  
Journal of Material Science  
Journal of Molecular Structure  
Journal of Optical Materials  
Journal of Plasma Physics  
Journal of Physics D: Applied Physics  
Journal of Quantitative Spectroscopy and Radiative Transfer  
Journal of New Materials for Electrochemical Systems  
New Journal of Physics  
Physics Essays  
Plasma Sources Science and Technology  
Solar Energy Materials & Solar Cells  
Thermochimica Acta  
Vibrational Spectroscopy

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<sup>115</sup> The Committee also claims that other evidence also belongs to this category, including Applicant’s book entitled “Grand Unified Theory of Classical Quantum Mechanics,” because it is not scientifically evaluated, and conference proceedings, because they “do not belong to refereed publications.” Applicant, also protests the Committee’s dismissal of this evidence as contrary to established PTO procedures and standards.

Applicant is shocked to learn that the PTO no longer considers journals such as these—still held in high esteem by the scientific community—to be credible publications.<sup>116</sup> In light of this astonishing revelation, Applicant is entitled to know in significantly more detail the precise basis upon which the Committee has concluded that these journals are not credible. More specifically, in evaluating technical papers submitted in support of patent applications, what standards does the Committee apply in deciding whether a particular journal is “scientifically qualified”? Assuming such recognized standards are in place—though highly doubtful—the Committee also should be required to show that these standards have been applied consistently to all patent applicants and not applied just arbitrarily as to this one Applicant.

Applicant further requests that the Committee provide a list of those scientific journals it now considers to be sufficiently credible under these standards. This way, Applicant will at least have the option of submitting his technical papers to only those so-called “credible” journals that the Committee is willing to take seriously.<sup>117</sup>

Applicant suspects that these standards do not exist and that, consistent with past practices in other BlackLight cases, the Committee has once again erected arbitrary barriers against this one particular Applicant to ensure that allowance is not an option in this case. Applicant again directs the Committee’s attention to the February 11, 2003 Interview, during which Quality Assurance Specialist Douglas McGinty gave specific direction as to what evidence Applicant needed to present to get claims allowed.

The Committee’s failure to follow that direction is similar to what occurred in prosecuting Applicant’s Application Serial No. 09/513,768. In that case, Examiner Wells also gave Applicant direction regarding what evidence he wanted to see presented for allowance:

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<sup>116</sup> No doubt, the many patentees who have relied on scientific data published in these same esteemed journals to support patentability—as well as the journal organizations themselves—would be shocked too.

<sup>117</sup> It would have been extremely helpful if, back in February 2001, when Examiner Jagannathan required the publication of scientific data, he had informed Applicant that the Committee had a narrow list of scientific journals it would consider credible. This would have saved Applicant considerable time and expense.

It is the Examiner's opinion that demonstration of the existence of a novel hydrogen series having lower energy states is best demonstrated by a shift in the Lyman series lines towards the far ultra-violet. This data should be compared to the regular hydrogen series. Unfortunately, this analysis and data is missing in the Applicant's experimental evidence presentations. [July 29, 2002 Final Office Action at page 2]

And just as Applicant has provided the evidence Specialist McGinty requested to demonstrate the existence of novel hydrogen species having lower energy states, so too did Applicant present the evidence Examiner Wells requested showing "a shift in the Lyman series lines towards the far ultra-violet . . . [as] compared to the regular hydrogen series." Not coincidentally, the Committee in this case also renounced all representations that led Applicant to believe that allowance was a realistic option and, instead, dismissed the experimental data appearing in Applicant's journal articles in its totality.

Despite these impediments, Applicant remains undeterred. Thus, even under the PTO's newly minted standards for evaluating his published technical papers, Applicant is prepared to show that those standards have been clearly met. Indeed, Applicant has first-hand knowledge of, and can attest to, the rigorous peer review process that preceded publication of many of his papers. In most cases, Applicant was required to conduct additional experimentation and to rewrite portions of his papers to satisfy the numerous PhD scientists conducting the review. Based on that rigorous review process, the Committee has no basis for claiming that any of the journals that have published Applicant's evidence are not "scientifically qualified."

If the Committee is aware of specific facts—as opposed to mere speculation—contradicting Applicant's personal experience with that review process, it is incumbent upon the PTO to come forward with that information. The Committee's failure to do so merely highlights the arbitrary and capricious manner in which it has treated Applicant's experimental evidence.

Regardless of the actual number of Applicant's technical papers that meet the Committee's new arbitrary standards, for those papers that do meet them by having been published in scientifically qualified journals, after undergoing the appropriate review process, those papers must now be deemed credible under those standards.

Applicant, therefore, requests that the Committee give those papers the proper weight they are due and issue Applicant his patent based on the published scientific data demonstrating the existence of lower energy states of hydrogen.

Applicant cites for further consideration **62** articles that have been published in peer reviewed scientific journals (1-34, 37-38, 40-43, 45-52, 54, 56-61, 63, 67, 69, 77, 81, 90, and 101), and **41** further articles that are being reviewed by scientific journals (53, 55, 58, 62, 64-66, 68, 70-76, 78-80, 82, 84-89, 91-100, 102, and 103):

List of journals where Applicant's articles have been published:

Applied Physics Letters  
Chemistry of Materials  
Electrochimica Acta  
European Physical Journal: Applied Physics  
Fusion Technology  
IEEE Transactions on Plasma Science  
International Journal of Hydrogen Energy  
Journal of Applied Physics  
Journal of Material Science  
Journal of Molecular Structure  
Journal of Optical Materials  
Journal of Plasma Physics  
Journal of Physics D: Applied Physics  
Journal of Quantitative Spectroscopy and Radiative Transfer  
Journal of New Materials for Electrochemical Systems  
New Journal of Physics  
Physics Essays  
Plasma Sources Science and Technology  
Solar Energy Materials & Solar Cells  
Thermochimica Acta  
Vibrational Spectroscopy

List of journals where Applicant's articles have been submitted and are being reviewed:

Acta Physica Polonica A  
AIAA Journal  
Annales de la Fondation Louis de Broglie  
Canadian Journal of Physics  
Contributions to Plasma Physics  
Current Applied Physics  
Doklady Chemistry  
European Journal of Physics D  
Europhysics Letters  
Fizika A  
Foundations of Physics  
Japanese Journal of Applied Physics  
Journal of Applied Spectroscopy  
Journal of Materials Research  
Journal of Physical Chemistry A  
Journal of Physical Chemistry B  
Journal of Physics B  
Journal of Plasma Physics  
Journal of the Physical Society of Japan  
Journal of Vacuum Science & Technology A  
Low Temperature Physics  
Materials Characterization  
Materials of Science and Engineering B  
Thin Solid Films  
Vacuum

In view of the new standards being imposed on evaluating the credibility of Applicant's technical papers, it is only fair that the reference materials cited in the Appendix attached to the pending Office Action be subjected to the same standards. Even upon cursory inspection, it is evident that many of these materials have not been

published in accredited journals and most certainly have not been subjected to any peer review, as compared to Applicant's technical papers that have been peer-reviewed in the above-listed Journals. Those materials, therefore, should not be afforded any credibility whatsoever in accordance with the Committee's own analysis.

On page 5 of the Office Action, the Committee further argues that Applicant's articles "do not deal with the 'hydrino,' but other subject matter, such as special data for states above  $n=1$ , and thus, even if valid, do not pertain to the present invention. To this category belong 59, 65, 66, 80 and 94." That argument is also baseless.

Applicant submits that articles 59, 66, 80, and 94 in fact do pertain to the present invention and confirm a novel reaction of atomic hydrogen which produces hydrogen in fractional quantum states (hydrino) that are at lower energies than the traditional "ground" ( $n = 1$ ) state, a chemically generated or assisted plasma (rt-plasma), and produces novel hydride compounds as detailed in the document "Lower-Energy Hydrogen Experimental Data". Power conversion applications are also supported. Exemplary results include:

8.) the recent analysis of mobility and spectroscopy data of individual electrons in liquid helium which shows direct experimental confirmation that electrons may have fractional principal quantum energy levels [17, 53],

29.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing at wavelengths over a wide range from micron to blue wherein molecular oxygen served as the catalyst as supported by  $O^{2+}$  emission and H Balmer line broadening of 55 eV compared to 1 eV for hydrogen alone [59, 65-66, 68, 74, 83, 85],

32.) the observation of stimulation of the stationary inverted H Balmer population from a low pressure water-vapor microwave discharge plasma by back illumination with an infrared source that showed depopulation of the  $n = 5$  state [59, 65, 68, 85],

33.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing was observed for Evenson microwave plasmas, but not for RF or discharge plasmas [59, 65-66, 68, 73, 83, 85],

35.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing that was dependent on the pressure of the Evenson microwave plasma [59, 68, 73, 83, 85],

37.) the observation that the requirement for the natural hydrogen-oxygen stoichiometry of the Evenson water plasma was stringent in that a deviation by over 2% excess of either gas caused a reversal of the H inversion in water vapor plasmas [59, 68, 83, 85],

65.) at the load matching condition of  $250 \Omega$ , the direct plasmadynamic conversion (PDC) of open circuit voltages of 21.8 V and 1.87 W of electrical power with a 0.125 in diameter by 3/4 in long plasmadynamic electrode and a 140 G applied field corresponding to an extracted power density of  $3.6 \text{ W/cm}^3$  and an efficiency of 42% [56],

Article 80 invalidates the argument that lower energy states are not theoretically possible according to quantum mechanics. The abstract follows:

Recently published data showing that the Rydberg series extends to lower states in a catalytic plasma reaction [R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542] has implication for the theoretical basis of the stability of the hydrogen atom. The hydrogen atom is the only real problem for which the Schrödinger equation can be solved without approximations; however, it only provides three quantum numbers—not four, and inescapable disagreements between observation and predictions arise from the later



postulated Dirac equation as well as the Schrödinger equation. Furthermore, unlike physical laws such as Maxwell's equations, it is always disconcerting to those that study quantum mechanics (QM) that the particle-wave equation and the intrinsic Heisenberg Uncertainty Principle (HUP) must be accepted without any underlying physical basis for fundamental observables such as the stability of the hydrogen atom in the first place. In this instance, a circular argument regarding definitions for parameters in the wave equation solutions and the Rydberg series of spectral lines replaces a first-principles-based prediction of those lines. It is shown that the quantum theories of Bohr, Schrodinger, and Dirac provide no intrinsic stability of the hydrogen atom based on physics. An old argument from Feynman based on the HUP is shown to be internally inconsistent and fatally flawed. This argument further brings to light the many inconsistencies and shortcomings of QM and the intrinsic HUP that have not been reconciled from the days of their inception. The issue of stability to radiation needs to be resolved, and the solution may eliminate of some of the mysteries and intrinsic problems of QM.

81.) the isolation of fraction-principal-quantum-level molecular hydrogen  $H_2(1/p)$  gas by liquefaction using an ultrahigh-vacuum, liquid nitrogen cryotrap, and the observations of novel peaks by cryogenic gas chromatography, a higher ionization energy than  $H_2$  by mass spectroscopy, a substantial change in the EUV emission spectrum with deuterium substitution in a region where no hydrogen emission has ever been observed, and upfield shifted NMR peaks at 0.21, 2.18 and 3.47 ppm compared to that of  $H_2$  at 4.63 ppm [75, 87, 90, 92, 93, 94, 101],

On page 5 of the Office Action, the Committee argues that Applicant's articles "contain data which cannot be accounted for by applicant's theory. The discrepancy is explained in paper no. 40, pages 4 and 5. To this category belong attachments 60, 63, 70, 71, 73, 75, 76, 78, 79, 81, 86, 87, 90, 98 and 99." This argument too has absolutely no merit.

Articles 60, 63, 70, 71, 73, 75, 76, 78, 79, 81, 86, 87, 90, 98 and 99 present data that is predicted by Applicant's theory and confirm a novel reaction of atomic hydrogen which produces hydrogen in fractional quantum states that are at lower energies than the traditional "ground" ( $n = 1$ ) state, a chemically generated or assisted plasma (rt-plasma), and produces

novel hydride compounds as detailed in the document "Lower-Energy Hydrogen Experimental Data". Exemplary results include:

2.) the observation of novel EUV emission lines from microwave and glow discharges of helium with 2% hydrogen with energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 4, 6, 7, 8, 9, 11, 12$  or these lines inelastically scattered by helium atoms in the excitation of  $He(1s^2)$  to  $He(1s^1 2p^1)$  that were identified as hydrogen transitions to electronic energy levels below the "ground" state corresponding to fractional quantum numbers [28, 33-36, 50, 63, 67, 71, 73, 75-76, 78, 86-87, 90],

3.) the observation of novel EUV emission lines from microwave and glow discharges of helium with 2% hydrogen at 44.2 nm and 40.5 nm with energies of  $q \cdot 13.6 + \left( \frac{1}{n_f^2} - \frac{1}{n_i^2} \right) 13.6 \text{ eV}$  where  $q = 2$  and  $n_f = 2, 4$   $n_i = \infty$  that corresponded to multipole coupling to give two-photon emission from a continuum excited state atom and an atom undergoing fractional Rydberg state transition [36, 71, 73],

5.) the observation that the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$  was observed with an Evenson microwave cell, only the peak corresponding to  $q = 2$  was observed with an RF cell, and none of the peaks were observed with a glow discharge cell [71, 73],

6.) the observation that in a comparison of Evenson, McCarroll, cylindrical, and Beenakker microwave cavity plasmas, the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$  was only observed for Evenson-cavity helium-hydrogen plasmas [76],

9.) the observation of novel EUV emission lines from microwave discharges of argon or helium with 10% hydrogen that matched those predicted for the reaction  $H(1/4) + H^+ \rightarrow H_2(1/4)^+$  having an energy spacing of  $2^2$  times the transition-state vibrational

energy of  $H_2^+$  with the series ending on the bond energy of  $H_2(1/4)^+$  [29, 70, 73, 79, 92, 93, 98, 101],

10.) the result that the novel vibrational series for the reaction  $H(1/4) + H^+ \rightarrow H_2(1/4)^+$  was only observed for catalyst plasmas of helium, neon, and argon mixed with hydrogen, but not with noncatalyst xenon or krypton mixed plasmas [29, 70, 73, 79, 92, 93, 101],

11.) the observation that based on the intensities of the peaks, the catalyst and the plasma source dependence of the reaction rate to form  $H_2(1/4)^+$  is  $Ar^+ > He^+ > Ne^+$  and microwave > glow discharge >> RF, respectively [70],

12.) the observation that the microwave plasma source dependence of the reaction rate to form  $H_2(1/4)^+$  is Evenson microwave > McCarroll, cylindrical, Beenakker [79],

15.) the observation of EUV plasma emission spectra in the region 60 nm to 100 nm that matched the predicted emission lines  $E_{D_{H_2}}$  due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$  to longer wavelengths for  $\nu^* = 2$  to  $\nu^* = 32$  and to shorter wavelengths for  $\nu^* = 1$  to  $\nu^* = 16$  to within the spectrometer resolution of about  $\pm 0.05\%$  [50, 75-76, 78, 86-87, 90],

16.) the observation that in addition to members of the series of novel emission lines with energies of  $q \cdot 13.6 \text{ eV}$  or  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$  an additional intense peak was observed from a scaled-up Evenson cell at 41.6 nm with an energy of 29.81 eV that matched  $q \cdot 13.6 \text{ eV}$  with  $q = 4$  less 24.58741 eV corresponding to inelastic scattering of these photons by helium atoms due to ionization of  $He$  to  $He^+$  [86],

17.) the observation that in a comparison of Evenson, McCarroll, cylindrical, and Beenakker microwave cavity plasmas, the novel series of spectral lines due to the reaction

$2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$

was only observed for Evenson-cavity helium-hydrogen and neon-hydrogen plasmas [76],

18.) the observation by gas chromatography that hydrogen was consumed by the helium-hydrogen plasmas which showed the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$ , the novel series of spectral lines due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$ , extraordinary H Balmer line broadening corresponding to 180 - 210 eV, and excess power of 21.9 W in  $3 \text{ cm}^3$  [76],

19.) the observation of the dominant  $He^+$  emission and an intensification of the plasma emission observed when  $He^+$  was present with atomic hydrogen demonstrated the role of  $He^+$  as a catalyst [36, 73],

33.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing was observed for Evenson microwave plasmas, but not for RF or discharge plasmas [59, 65-66, 68, 73, 83, 85],

35.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing that was dependent on the pressure of the Evenson microwave plasma [59, 68, 73, 83, 85],

50.) the observation that microwave helium-hydrogen and argon-hydrogen plasmas having catalyst  $Ar^+$  or  $He^+$  showed extraordinary Balmer  $\alpha$  line broadening due to hydrogen catalysis corresponding to an average hydrogen atom temperature of 110 - 130 eV and 180 - 210 eV, respectively; whereas, plasmas of pure hydrogen, neon-hydrogen, krypton-hydrogen, and xenon-hydrogen showed no excessive broadening corresponding to an

average hydrogen atom temperature of  $\approx 3 \text{ eV}$  [33-37, 43, 49, 60, 63-64, 69, 71, 73-74, 82, 84, 88],

51.) the observation that microwave helium-hydrogen and argon-hydrogen plasmas showed average electron temperatures that were high,  $30,500 \pm 5\% \text{ K}$  and  $13,700 \pm 5\% \text{ K}$ , respectively; whereas, the corresponding temperatures of helium and argon alone were only  $7400 \pm 5\% \text{ K}$  and  $5700 \pm 5\% \text{ K}$ , respectively [34-37, 43, 49, 63, 67, 73],

59.) the observation of  $306 \pm 5 \text{ W}$  of excess power generated in  $45 \text{ cm}^3$  by a compound-hollow-cathode-glow discharge of a neon-hydrogen (99.5/0.5%) mixture corresponding to a power density of  $6.8 \text{ MW/m}^3$  and an energy balance of at least  $-1 \times 10^6 \text{ kJ/mole H}_2$  compared to the enthalpy of combustion of hydrogen of  $-241.8 \text{ kJ/mole H}_2$  [50, 78],

60.) the observation that for an input of 37.7 W, the total plasma power of the neon-hydrogen plasma measured by water bath calorimetry was 60.7 W corresponding to 23.0 W of excess power in  $3 \text{ cm}^3$  [76],

61.) the observation of intense  $\text{He}^+$  emission and a total plasma power of a helium-hydrogen plasma measured by water bath calorimetry of 30.0 W for an input of 8.1 W, corresponding to 21.9 W of excess power in  $3 \text{ cm}^3$  wherein the excess power density and energy balance were high,  $7.3 \text{ W/cm}^3$  and  $-2.9 \times 10^4 \text{ kJ/mole H}_2$ , respectively [36, 63, 71, 73],

63.) the observation of energy balances of helium-hydrogen microwave plasmas of over 100 times the combustion of hydrogen and power densities greater than  $10 \text{ W/cm}^3$  measured by water bath calorimetry [34-36, 50, 63, 71, 73, 76-78, 84, 92, 93, 101],

68.) the isolation of novel hydrogen compounds as products of the reaction of atomic hydrogen with atoms and ions which formed an anomalous plasma as reported in the EUV studies [6-10, 19, 25, 38, 41, 44-45, 60-62, 75, 81, 87, 90, 92, 93, 100, 101],

69.) the synthesis and identification of a novel diamond-like carbon film terminated with  $CH(1/p)$  ( $H^+DLC$ ) comprising high binding energy hydride ions was synthesized for the first time from solid carbon by a microwave plasma reaction of a mixture of 10-30% hydrogen and 90-70% helium wherein  $He^+$  served as a catalyst with atomic hydrogen to form the highly stable hydride ions and an energetic plasma [60],

75.) the identification of novel hydride compounds by a number of analytical methods such as (i) time of flight secondary ion mass spectroscopy which showed a dominant hydride ion in the negative ion spectrum, (ii) X-ray photoelectron spectroscopy which showed novel hydride peaks and significant shifts of the core levels of the primary elements bound to the novel hydride ions, (iii)  $^1H$  nuclear magnetic resonance spectroscopy (NMR) which showed extraordinary upfield chemical shifts compared to the NMR of the corresponding ordinary hydrides, and (iv) thermal decomposition with analysis by gas chromatography, and mass spectroscopy which identified the compounds as hydrides [6-10, 19, 25, 38, 41, 44-45, 60-62, 75, 81, 87, 90, 92, 93, 100],

81.) the isolation of fraction-principal-quantum-level molecular hydrogen  $H_2(1/p)$  gas by liquefaction using an ultrahigh-vacuum, liquid nitrogen cryotrap, and the observations of novel peaks by cryogenic gas chromatography, a higher ionization energy than  $H_2$  by mass spectroscopy, a substantial change in the EUV emission spectrum with deuterium substitution in a region where no hydrogen emission has ever been observed, and upfield shifted NMR peaks at 0.21, 2.18 and 3.47 ppm compared to that of  $H_2$  at 4.63 ppm [75, 87, 90, 92, 93, 94, 101],

Regarding the Committee's incorrect discrepancy discussed in paper no. 40 pages 4 and 5:

The Novel Lines presented in Ref. [67]: R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542 can be Explained as Electronic Transitions to Fractional Rydberg States of Atomic Hydrogen

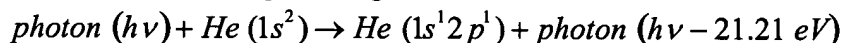
- The novel peaks fit two empirical relationships.
- In order of energy, the set comprising the peaks at 91.2 nm, 45.6 nm, 30.4 nm, 13.03 nm, 10.13 nm, and 8.29 nm correspond to energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 7, 9, \text{ or } 11$ .
- In order of energy, the set comprising the peaks at 63.3 nm, 37.4 nm, 20.5 nm, and 14.15 nm correspond to energies of  $q \cdot 13.6 - 21.21 \text{ eV}$  where  $q = 3, 4, 6, \text{ or } 8$ .

- Electronic transitions to fractional Rydberg states given by

$$E_n = -\frac{e^2}{n^2 8 \pi \epsilon_0 a_H} = -\frac{13.598 \text{ eV}}{n^2} \quad n = \frac{1}{2}, \frac{1}{3}, \frac{1}{4}, \dots, \frac{1}{p}; \quad p \text{ is an integer}$$

catalyzed by the resonant nonradiative transfer of  $m \cdot 27.2 \text{ eV}$  would give rise to a series of emission lines of energies  $q \cdot 13.6 \text{ eV}$  where  $q$  is an integer.

- It is further proposed that the photons that arise from hydrogen transitions may undergo inelastic helium scattering. The general reaction is



- Then the two empirical series may be combined. The energies for the novel lines in order of energy are 13.6 eV, 27.2 eV, 40.8 eV, 54.4 eV, 81.6 eV, 95.2 eV, 108.8 eV, 122.4 eV and 149.6 eV. The corresponding peaks are 91.2 nm, 45.6 nm, 30.4 nm with 63.3 nm, 37.4 nm, 20.5 nm, 13.03 nm, 14.15 nm, 10.13 nm, and 8.29 nm, respectively. Thus, the identified novel lines correspond to energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 4, 6, 7, 8, 9, \text{ or } 11$  or these lines inelastically scattered by helium atoms wherein 21.2 eV was absorbed in the excitation of  $\text{He } (1s^2)$  to  $\text{He } (1s^1 2p^1)$ .

Alternative explanations for these lines were eliminated as given, for example, in Ref. [67]: R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542 and Ref. [98]: R. L. Mills, Y. Lu, J.

He, M. Nansteel, P. Ray, X. Chen, A. Voigt, B. Dhandapani, "Spectral Identification of New States of Hydrogen", Applied Spectroscopy, submitted.

From Ref. [98]:

These strong emissions are not found in any single gas plasma, and cannot be assigned to the known emission of any species of the single gases studied such as  $H$ ,  $H^-$ ,  $H_2$ ,  $H_2^+$ ,  $H_3^+$ ,  $He$ ,  $He_2^+$ , and  $He^+$ , known species of the mixture such as  $He_2^+$ ,  $HeH^+$ ,  $HeH$ ,  $HHe_2^+$ , and  $HHe_n^+$  and  $He_n$ , possible contaminants [1], or doubly excited states [2].

However the results can be explained by a novel catalytic reaction involving atomic hydrogen [1, 3-6]

From Ref. [67]:

All known possibilities for the series of novel lines were considered. Spectra of species present in helium hydrogen mixtures and possible impurities were evaluated. The only known species in a helium-hydrogen plasmas are  $H^+$ ,  $H_2^+$ ,  $H_3^+$ ,  $H^-$ ,  $H$ ,  $H_2$ ,  $He_2^+$ ,  $HeH^+$ , and remotely possibly  $HeH$ . Other exotic possibilities such as  $He_2^+$ ,  $HHe_2^+$ ,  $HHe_n^+$  and  $He_n$  were eliminated due to the extremely specialized conditions required for their formation such as extremely low temperatures that were unlike those in the helium-hydrogen microwave plasmas [31-32]. The impurities considered were nitrogen, oxygen, carbon dioxide, and water vapor from air, noble gas contaminants, silicon from the quartz tube, and contaminants from the vacuum system.

Regarding hydrogen species as a candidate of the series of novel lines, hydrogen alone has no known emission in this region ( $< 77 \text{ nm}$ ) [5-25] as shown in Figure 1. This is a consequence of the binding energies of  $H$ ,  $H_2$ , and  $H_2^+$  being less than 16.3 eV [43-44], and the binding energy of  $H^-$  being only 0.75 eV [26]. The reaction to form  $H_3^+$  is exothermic [45]



From Eq. (1), the binding energy of  $H_3^+$  can not be more than 22.43 eV, the sum of the binding energy of  $H_2^+$ , 16.25 eV (given by the sum of the bond energy of  $H_2^+$ , 2.651 eV [44], and the binding energy of  $H$ , 13.59844 eV [43]), the bond energy of  $H_2$ , 4.478 eV [44], and 1.7 eV. The corresponding emission is 55.3 nm which is outside of the region of the novel series observed in the region  $< 50 \text{ nm}$ . Furthermore,  $H_3^+$  possesses no excited electronic states, and consequently has no observable emission in the ultraviolet or visible regions [27].  $H_3^+$  can only be observed spectroscopically via vibration-rotational transitions which are in the infrared [27-28].



$He_2^*$  emission is limited to the spectral region  $> 58.4$  nm; thus, it was eliminated [29].  $HeH^+$  was eliminated since excited states of this ion were predicted to be unstable or only weakly bonding [33].  $HeH$  emission was eliminated as the source of the series of novel peaks due to the extraordinarily low probability that  $HeH$  would form under the conditions of the helium-hydrogen microwave discharge. The existence of "bound" excited states of  $HeH$  has been shown by emission spectroscopy of  $HeH$  molecules produced by two ways: (1) by reactions of  $He$  and  $H_2^*$ , and (2) in charge exchange collisions between  $HeH^+$  and alkali vapors [34-35]. Conditions for either of these types of reactions were not present in the helium-hydrogen microwave plasmas. In addition, the known emission spectrum of  $HeH$  was not observed. In particular,  $HeH$  has broad emission peaks in the regions of 160-180 nm [36] and 200-400 nm [35] that were not observed in the helium-hydrogen plasmas, nor has the series of novel peaks been recorded on  $HeH$  emission. In addition, the novel series does not match the theoretical spectrum of attractive excited states that decay to a repulsive ground state. The theoretical emission of excited states belong to a Rydberg series that converges to the electronic ground state of the  $HeH^+$  ion [34-35].

Air contaminants were also eliminated. Plasmas of nitrogen, oxygen, carbon dioxide, or these gases with 2% hydrogen showed no emission in the region  $< 50$  nm as shown in Figure 5 for hydrogen mixed with nitrogen, oxygen, and carbon dioxide. In addition, water vapor present in the oxygen-hydrogen plasma showed no emission in this region. Nitrogen was further eliminated since the intensity of the  $NI\ 4S-4P$  peaks of the nitrogen microwave plasma at 113.45 nm and 119.96 nm were 500,000 photons/s; whereas, these peaks were absent from the helium-hydrogen emission recorded with the same sensitivity. The spectrum of nitrogen matched that given in the literature [46] and NIST tables [5]. Similarly oxygen, carbon dioxide, and water vapor (oxygen-hydrogen mixture) were eliminated since O I peaks were observed from each plasma with intensities  $> 100,000$  photons/s; whereas, these peaks were absent from the helium-hydrogen emission recorded with the same sensitivity. The peaks that were absent from the helium-hydrogen microwave plasma, but were observed as intense peaks from the oxygen, carbon dioxide, and water vapor microwave plasmas were the O II peak at 83.45 nm and O I peaks at 87.79 nm, 93.5 nm, 99.1 nm, 103.92 nm, 104.09 nm, and 115.21 nm.

Emission of argon, krypton, and xenon as helium contaminants were eliminated. No emission was observed in the region  $< 50$  nm for xenon, xenon-hydrogen, krypton, and krypton-hydrogen as shown in Figure 6 for krypton or xenon mixed with hydrogen. In the

case of the argon plasma, only known Ar II and III lines were observed at shorter wavelengths as shown in Figure 7. More significantly, the Ar I lines at 93.2 nm, 104.82 nm, and 106.66 nm have an intensities that are about three orders of magnitude that of the Ar II lines at 48.72 nm, 54.76, and 55.68 nm as observed in the argon control and from NIST tables [5]. This and other lines of argon in the region 50 - 560 nm were not observed.

Neon has peaks at 45.635 nm and 45.527 nm. To eliminate the possibility that the 45.6 nm peak shown in Figures 2-4 was due to the presence of neon as an impurity, the EUV spectra (25 - 50 nm) of the helium-hydrogen mixture (98/2%) (top curve) and control neon (bottom curve) microwave discharge cell emission were recorded with a normal incidence EUV spectrometer and a CEM as shown in Figure 8. The novel lines were not observed in the neon control, and a series of Ne II lines were observed only in the control. The neon peaks at 45.635 nm and 45.527 nm were resolved in Figure 8; whereas, the 45.6 nm peak in the helium-hydrogen plasma was about 3 nm broad. Thus, it was not due to neon impurity. More significantly, the Ne I line at 73.58 nm has an intensity that is about three orders of magnitude that of the Ne II line at 45.635 nm and 45.527 nm as observed in the neon control and from NIST tables [5]. This and other lines of neon in the region 50 - 560 nm were not observed.

Silicon from the quartz tube wall was eliminated since emission due to Si I, Si II, or Si III is not possible below 56 nm based on the NIST tables [5]. Emission from silicon was also eliminated since no silicon lines were observed in any spectrum in the 5-560 nm region. Using the same quartz tube run under identical conditions, no emission was observed in the region of the novel series (< 50 nm) in the case of the controls microwave discharge plasmas of hydrogen, nitrogen, oxygen, carbon dioxide, helium, krypton, xenon, or 2% hydrogen mixed with each of these gases except for helium.

Pump contaminants were eliminated. In order for pump contaminants to enter the region of the plasma, they must migrate against the pressure gradient of the differential pumping,  $< 10^{-5}$  torr compared to 1 torr. This is highly unlikely. Furthermore, a turbo pump was used which does not have pump oil, and no impurities attributed to pumps were observed in any control spectrum in the 5-560 nm region.

The elimination of known explanations indicate a new result. Since the novel peaks were only observed with helium and hydrogen present, new hydrogen, helium, or helium-hydrogen species are possibilities. It is well known that empirically the excited energy states of atomic hydrogen are given by Rydberg equation (Eq. (2a) for  $n > 1$  in Eq. (2b)).

$$E_n = -\frac{e^2}{n^2 8 \pi \epsilon_0 a_H} = -\frac{13.598 \text{ eV}}{n^2} \quad (2a)$$

$$n = 1, 2, 3, \dots \quad (2b)$$

The  $n = 1$  state is the "ground" state for "pure" photon transitions (i.e. the  $n = 1$  state can absorb a photon and go to an excited electronic state, but it cannot release a photon and go to a lower-energy electronic state). However, an electron transition from the ground state to a lower-energy state may be possible by a resonant nonradiative energy transfer such as multipole coupling or a resonant collision mechanism. Processes such as hydrogen molecular bond formation that occur without photons and that require collisions are common [47]. Also, some commercial phosphors are based on resonant nonradiative energy transfer involving multipole coupling [48].

We propose that atomic hydrogen may undergo a catalytic reaction with certain atoms and ions such as  $He^+$  which singly or multiply ionize at integer multiples of the potential energy of atomic hydrogen,  $m \cdot 27.2 \text{ eV}$  wherein  $m$  is an integer. The theory was given previously [49]. The reaction involves a nonradiative energy transfer to form a hydrogen atom that is lower in energy than unreacted atomic hydrogen that corresponds to a fractional principal quantum number. That is

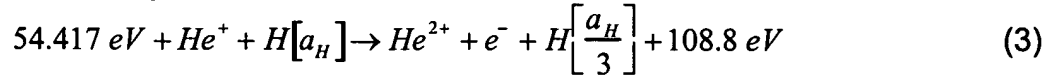
$$n = \frac{1}{2}, \frac{1}{3}, \frac{1}{4}, \dots, \frac{1}{p}; \quad p \text{ is an integer; } p \leq 137 \quad (2c)$$

replaces the well known parameter  $n = \text{integer}$  in the Rydberg equation for hydrogen excited states. Thus, the Rydberg states are extended to lower levels as depicted in Figure 9. The  $n = 1$  state of hydrogen and the  $n = \frac{1}{\text{integer}}$  states of hydrogen are

nonradiative, but a transition between two nonradiative states is possible via a nonradiative energy transfer, say  $n = 1$  to  $n = 1/2$ . Thus, a catalyst provides a net positive enthalpy of reaction of  $m \cdot 27.2 \text{ eV}$  (i.e. it resonantly accepts the nonradiative energy transfer from hydrogen atoms and releases the energy to the surroundings to affect electronic transitions to fractional quantum energy levels). As a consequence of the nonradiative energy transfer, the hydrogen atom becomes unstable and emits further energy until it achieves a lower-energy nonradiative state having a principal energy level given by Eqs. (2a) and (2c).

The novel peaks fit two empirical relationships. In order of energy, the set comprising the peaks at  $91.2 \text{ nm}$ ,  $45.6 \text{ nm}$ ,  $30.4 \text{ nm}$ ,  $13.03 \text{ nm}$ ,  $10.13 \text{ nm}$ , and  $8.29 \text{ nm}$  correspond to energies of  $q \cdot 13.6 \text{ eV}$  where  $q = 1, 2, 3, 7, 9, 11$ . In order of energy, the set comprising the peaks at  $37.4 \text{ nm}$ ,  $20.5 \text{ nm}$ , and  $14.15 \text{ nm}$  correspond to energies of  $q \cdot 13.6 - 21.21 \text{ eV}$  where  $q = 4, 6, 8$ . These lines can be explained as electronic transitions to fractional

Rydberg states of atomic hydrogen given by Eqs. (2a) and (2c) wherein the catalytic system involves helium ions because the second ionization energy of helium is  $54.417 \text{ eV}$ , which is equivalent to  $2 \cdot 27.2 \text{ eV}$ . In this case,  $54.417 \text{ eV}$  is transferred nonradiatively from atomic hydrogen to  $\text{He}^+$  which is resonantly ionized. The electron decays to the  $n = 1/3$  state with the further release of  $54.417 \text{ eV}$  which may be emitted as a photon. The catalysis reaction is



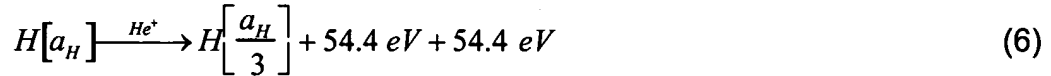
And, the overall reaction is



Since the products of the catalysis reaction have binding energies of  $m \cdot 27.2 \text{ eV}$ , they may further serve as catalysts. Thus, further catalytic transitions may occur:

$$n = \frac{1}{3} \rightarrow \frac{1}{4}, \frac{1}{4} \rightarrow \frac{1}{5}, \text{ and so on.}$$

Electronic transitions to Rydberg states given by Eqs. (2a) and (2c) catalyzed by the resonant nonradiative transfer of  $m \cdot 27.2 \text{ eV}$  would give rise to a series of emission lines of energies  $q \cdot 13.6 \text{ eV}$  where  $q$  is an integer. It is further proposed that the photons that arise from hydrogen transitions may undergo inelastic helium scattering. That is, the catalytic reaction



yields  $54.4 \text{ eV}$  by Eq. (4) and a photon of  $54.4 \text{ eV}$  ( $22.8 \text{ nm}$ ). Once emitted, the photon may be absorbed or scattered. When this photon strikes  $\text{He}(1s^2)$ ,  $21.2 \text{ eV}$  may be absorbed in the excitation to  $\text{He}(1s^1 2p^1)$ . This leaves a  $33.19 \text{ eV}$  ( $37.4 \text{ nm}$ ) photon peak and a  $21.21 \text{ eV}$  ( $58.4 \text{ nm}$ ) photon from  $\text{He}(1s^1 2p^1)$ . Thus, for helium the inelastic scattered peak of  $54.4 \text{ eV}$  photons from Eq. (3) is given by

$$E = 54.4 \text{ eV} - 21.21 \text{ eV} = 33.19 \text{ eV} \text{ (37.4 nm)} \quad (7)$$

A novel peak shown in Figures 2-4 was observed at  $37.4 \text{ nm}$ . Furthermore, the intensity of the  $58.4 \text{ nm}$  peak corresponding to the spectra shown in Figure 4 was about 60,000 photons/sec. Thus, the transition  $\text{He}(1s^2) \rightarrow \text{He}(1s^1 2p^1)$  dominated the inelastic scattering of EUV peaks. The general reaction is



The two empirical series may be combined—one directly from Eqs. (2a, 2c) and the other indirectly with Eq. (8). The energies for the novel lines in order of energy are

13.6 eV, 27.2 eV, 40.8 eV, 54.4 eV, 81.6 eV, 95.2 eV, 108.8 eV, 122.4 eV and 149.6 eV. The corresponding peaks are 91.2 nm, 45.6 nm, 30.4 nm, 37.4 nm, 20.5 nm, 13.03 nm, 14.15 nm, 10.13 nm, and 8.29 nm, respectively. Thus, the identified novel lines correspond to energies of  $q \cdot 13.6 \text{ eV}$ ,  $q = 1, 2, 3, 7, 9, 11$ . or  $q \cdot 13.6 \text{ eV}$ ,  $q = 4, 6, 8$  less 21.2 eV corresponding to inelastic scattering of these photons by helium atoms due to excitation of  $\text{He}(1s^2)$  to  $\text{He}(1s^1 2p^1)$ . The values of  $q$  observed are consistent with those expected based on Eq. (5) and the subsequent autocatalyzed reactions as discussed previously [50]. The broad satellite peak at 44.2 nm show in Figure 2-4 is consistent with the reaction mechanism of a nonradiative transfer to a catalyst followed by emission. There is remarkable agreement between the data and the proposed transitions to fractional Rydberg states and these lines inelastically scattered by helium according to Eq. (8). All other peaks could be assigned to He I, He II, second order lines, or atomic or molecular hydrogen emission. No known lines of helium or hydrogen explain the  $q \cdot 13.6 \text{ eV}$  related set of peaks.

The Committee cites Applicant's paper:

28. R. Mills, P. Ray, "Spectral Emission of Fractional Quantum Energy Levels of Atomic Hydrogen from a Helium-Hydrogen Plasma and the Implications for Dark Matter", Int. J. Hydrogen Energy, (2002), Vol. 27, No. 3, pp. 301-322.

as failing to identify the 304 Å line as the He II line. The Committee shows carelessness and has erred since Applicant has assigned the 304 Å to He II. Table 1 of gives:

304	304	$\text{He}^+(n=2) \rightarrow \text{He}^+(n=1) + 40.8 \text{ eV}^b$	7, 8, 9, 10
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In the legend appears:

<sup>b</sup> In Figures 7, 8, 9, 10, and 12, the peak corresponding to  $\text{He}^+(n=3) \rightarrow \text{He}^+(n=1) + 48.35 \text{ eV}$  (256 Å) was absent which makes this assignment difficult.

Furthermore, in Sec. IIIA appears:

It is also proposed that the 304 Å peak shown in Figures 7, 8, 9, 10 and 12 was not entirely due to the He II transition. Conspicuously absent was the 256 Å (48.3 eV) line of He II shown in Figures 6 and 8 which implies only a minor He II transition contribution to the 304 Å peak.

The solar spectrum is not the same as the spectrum of a pure helium-hydrogen (98/2%) plasma. The Sun is known to contain the elements even beyond iron (See Table 4.2 of Stix, M., The Sun, Springer-Verlag, Berlin, (1991)). Based on the Committee's errors and using the same standard as the Committee applies to Applicant, his scientific credibility is compromised on **all** of his arguments.

On page 6 of the Office Action, the Committee further criticizes Applicant's articles on the basis that "[t]hey speculate hydrino formation as an explanation for experimental data unrelated to and not necessarily caused by hydrinos, such as Balmer line broadening, calorimetric data, or 'indications' of hybrid chemical bonding. Besides the possible explanations for Balmer line broadening mentioned in paper no. 40, the attached Appendix, on page 5, offers still other reasons for this phenomenon."

The Committee is, once again, obviously confused. As given in the Committee's Appendix, Applicant does not claim resonance broadening; rather the source of Balmer line broadening is Doppler broadening. The resonance ionization involves the catalyst as given for the  $He^+$  in Ref. [67]. The catalyst reaction involves a nonradiative, resonant energy transfer of  $m \cdot 27.2 \text{ eV}$  to a catalyst with the remaining energy between the initial and final states being released as a photon or transferred to a body such as H to form fast H. The resulting broadening is Doppler.

Plasma discharges such as RF, microwave, and high voltage glow discharges have been well characterized over decades. The plasma have been characterized by models such as coronal, Maxwellian, and Saha-Boltzmann as given in Griem [H. R. Griem, "Spectral Line Broadening in Plasmas", Academic Press, NY, 1978]. The mechanisms for broadening in these cells are discussed in many articles, such as the following:

1. M. Kuraica, N. Konjevic, "Line shapes of atomic hydrogen in a plane-cathode abnormal glow discharge", Physical Review A, Volume 46, No. 7, October (1992), pp. 4429-4432.

2. M. Kuraica, N. Konjevic, M. Platisa and D. Pantelic, *Spectrochimica Acta* Vol. 47, 1173 (1992).
3. I. R. Videnovic, N. Konjevic, M. M. Kuraica, "Spectroscopic investigations of a cathode fall region of the Grimm-type glow discharge", *Spectrochimica Acta, Part B*, Vol. 51, (1996), pp. 1707-1731.
4. S. Alexiou, E. Leboucher-Dalimier, "Hydrogen Balmer- $\alpha$  in dense plasmas", *Phys. Rev. E*, Vol. 60, No. 3, (1999), pp. 3436-3438.
5. S. Djurovic, J. R. Roberts, "Hydrogen Balmer alpha line shapes for hydrogen-argon mixtures in a low-pressure rf discharge", *J. Appl. Phys.*, Vol. 74, No. 11, (1993), pp. 6558-6565.
6. S. B. Radovanov, K. Dzierzega, J. R. Roberts, J. K. Olthoff, "Time-resolved Balmer-alpha emission from fast hydrogen atoms in low pressure, radio-frequency discharges in hydrogen", *Appl. Phys. Lett.*, Vol. 66, No. 20, (1995), pp. 2637-2639.
7. S. B. Radovanov, J. K. Olthoff, R. J. Van Brunt, S. Djurovic, "Ion kinetic-energy distributions and Balmer-alpha ( $H_\alpha$ ) excitation in  $Ar - H_2$  radio-frequency discharges", *J. Appl. Phys.*, Vol. 78, No. 2, (1995), pp. 746-757.

In general, the experimental profile is a convolution of a Doppler profile, an instrumental profile, the natural (lifetime) profile, Stark profiles, van der Waals profiles, a resonance profile, and fine structure. The contribution from each source in resonance transfer (rt)-plasmas of the present Invention was determined to be below the limit of detection as given in the following publications:

37. R. L. Mills, P. Ray, B. Dhandapani, R. M. Mayo, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Glow Discharge and Microwave Hydrogen Plasmas with Certain Catalysts", *J. of Applied Physics*, Vol. 92, No. 12, (2002), pp. 7008-7022.
49. R. L. Mills, P. Ray, B. Dhandapani, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Inductively and Capacitively Coupled RF, Microwave, and Glow Discharge Hydrogen Plasmas with Certain Catalysts", *IEEE Transactions on Plasma Science*, Vol. 31, No. (2003), pp. 338-355.
43. R. L. Mills, P. Ray, "Substantial Changes in the Characteristics of a Microwave Plasma Due to Combining Argon and Hydrogen", *New Journal of Physics*, [www.njp.org](http://www.njp.org), Vol. 4, (2002), pp. 22.1-22.17.

- 54. R. L. Mills, P. Ray, "Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Catalysts", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1504-1509.
- 20. R. Mills and M. Nansteel, P. Ray, "Argon-Hydrogen-Strontium Discharge Light Source", IEEE Transactions on Plasma Science, Vol. 30, No. 2, (2002), pp. 639-653.
- 16. R. Mills, M. Nansteel, and P. Ray, "Excessively Bright Hydrogen-Strontium Plasma Light Source Due to Energy Resonance of Strontium with Hydrogen", J. of Plasma Physics, Vol. 69, (2003), pp. 131-158.
- 52. R. Mills and M. Nansteel, P. Ray, "Bright Hydrogen-Light Source due to a Resonant Energy Transfer with Strontium and Argon Ions", New Journal of Physics, Vol. 4, (2002), pp. 70.1-70.28.
- 67. R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542.
- 33. R. L. Mills, P. Ray, B. Dhandapani, M. Nansteel, X. Chen, J. He, "New Power Source from Fractional Quantum Energy Levels of Atomic Hydrogen that Surpasses Internal Combustion", J Mol. Struct., Vol. 643, No. 1-3, (2002), pp. 43-54.
- 51. R. Mills, P. Ray, R. M. Mayo, "CW H I Laser Based on a Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Group I Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. 2, (2003), pp. 236-247.

The flow rate in Applicant's plasma cell is typically 10 sccm. At these low pressures, the flow is laminar (very low Reynolds number). An upper-limit estimate of the directionally-dependent Doppler broadening due to mass transport can be arrived at by assuming laminar flow at the maximum flow rate of 10 sccm. The cell pressure is about 1 Torr, and the temperature is about 1000 K; thus, the pressure and temperature corrected flow rate is about 25,000 ccm. A very conservative cross section of the plasma cell is  $1 \text{ cm}^2$ . Thus, the flow velocity is conservatively 4 m/s. This corresponds to a broadening of  $\sim 10^{-7}$  eV which is absolutely trivial—even much less than the 0.1 eV corresponding to the neutral gas temperature of 1000 K.

Broadening by high electron density is called Stark broadening. The required electron densities are about six orders of magnitude greater than the measured electron densities in these plasma [37, 43, 49]. Furthermore, only the atomic hydrogen lines ( $\alpha$ ,  $\beta$ ,  $\gamma$ , and  $\delta$ ) were found to be broadened. Stark broadening would result in broadening of ALL of the



lines, not just the hydrogen lines. From R. L. Mills, P. Ray, E. Dayalan, B. Dhandapani, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Inductively and Capacitively Coupled RF, Microwave, and Glow Discharge Hydrogen Plasmas with Certain Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. (2003), pp. 338-355:

From Eq. (5), to get a Stark broadening of only 0.1 nm with  $T_e = 9000\text{ K}$ , an electron density of about  $n_e \sim 3 \times 10^{15}\text{ cm}^{-3}$  is required, compared to that of the argon-hydrogen plasma of  $< 10^9\text{ cm}^{-3}$  determined using a compensated Langmuir probe, over six orders of magnitude less. Regional maxima in electron densities that could give rise to Stark broadening was eliminated as a possibility. The measured electron densities did not exceed  $10^9\text{ cm}^{-3}$ , and the axial variation was weak, showing less than a factor of two change throughout the brightest region of the plasma. The high mass diffusivity of all of the species present made it unlikely that a large density gradient existed anywhere in the plasma at steady state. This result was also evident by the good fit to a Gaussian profile recorded on the argon-hydrogen plasma rather than a Voigt profile as shown in Figure 10. In addition, the line broadening for Balmer  $\beta$ ,  $\gamma$ , and  $\delta$  was comparable to that of Balmer  $\alpha$ ; whereas, an absence of broadening beyond the instrument width was observed for the lines of argon or helium species such as the 667.73 nm and 591.2 nm Ar I lines and 667.816 nm and 587.56 nm He I lines. Thus, the Stark broadening was also insignificant.

Broadening was observed in glow discharge, RF discharge, and filament cells (rt-plasma) as well as microwave cells. Thus, the broadening is not dependent on the particular plasma source. Only those mixed plasma which contained a catalyst and hydrogen demonstrated broadening. Balmer  $\alpha$  line broadening is reported in references [16, 20, 30, 33-37, 39, 42-43, 49, 51-52, 54-55, 57, 63-65, 68-69, 71-74, 81-85, 88-89, 91, 92, 93]. Standard broadening mechanisms were considered and eliminated, including pressure broadening, resonance broadening, and microwave field broadening. Applicant confirmed that Doppler broadening due to thermal motion was the dominant source to the extent that other sources may be neglected when each source was considered. In general, the experimental profile is a convolution of two Doppler profiles, an instrumental profile, the natural (lifetime) profile, Stark profiles, van der Waals profiles, a resonance profile, and fine

structure. The contribution from each source was determined to be below the limit of detection as shown in:

49. R. L. Mills, P. Ray, E. Dayalan, B. Dhandapani, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Inductively and Capacitively Coupled RF, Microwave, and Glow Discharge Hydrogen Plasmas with Certain Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. (2003), pp. 338-355.
43. R. L. Mills, P. Ray, "Substantial Changes in the Characteristics of a Microwave Plasma Due to Combining Argon and Hydrogen", New Journal of Physics, www.njp.org, Vol. 4, (2002), pp. 22.1-22.17.
37. R. L. Mills, P. Ray, B. Dhandapani, R. M. Mayo, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Glow Discharge and Microwave Hydrogen Plasmas with Certain Catalysts", J. of Applied Physics, Vol. 92, No. 12, (2002), pp. 7008-7022.

No hydrogen species,  $H^+$ ,  $H_2^+$ ,  $H_3^+$ ,  $H^-$ ,  $H$ , or  $H_2$ , responds to the microwave field; rather, only the electrons respond. But, the measured electron temperature was about 1 eV; whereas, the measured H temperature was 110-130 eV. This requires that  $T_H \gg T_e$ .

Microwave-field broadening can not explain the results.

Pressure broadening is negligible as given in 37. R. L. Mills, P. Ray, B. Dhandapani, R. M. Mayo, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Glow Discharge and Microwave Hydrogen Plasmas with Certain Catalysts", J. of Applied Physics, Vol. 92, No. 12, (2002), pp. 7008-7022:

As discussed above, an estimate based on emission line profiles places the total H atom density of the argon-hydrogen plasma at  $\sim 3.5 \times 10^{14} \text{ cm}^{-3}$ . Since this is overwhelmingly dominated by the ground state,  $N_H = 3.5 \times 10^{14} \text{ cm}^{-3}$  will be used. Usually, the atomic hydrogen collisional cross section in plasmas is on the order of  $10^{-18} \text{ cm}^2$  [38]. Thus, for  $N_H = 3.5 \times 10^{14} \text{ cm}^{-3}$ , collisional or pressure broadening is negligible.

The data supports the claimed chemical reaction between atomic hydrogen and a catalyst to form lower-energy state hydrogen with the release of energy, which is the energy source of the observed extraordinary Doppler broadened hydrogen lines as discussed previously [95] with additional supporting data, such as the observation of the spectral lines of lower-energy hydrogen.

Similarly, power is required to maintain a plasma. The formation of lower-energy hydrogen from atomic hydrogen is the power source of chemically generated plasmas of the present invention. Confirming data of rt-plasmas are reported in the following journal articles:

54. R. L. Mills, P. Ray, "Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Catalysts", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1504-1509.
20. R. Mills and M. Nansteel, P. Ray, "Argon-Hydrogen-Strontium Discharge Light Source", IEEE Transactions on Plasma Science, Vol. 30, No. 2, (2002), pp. 639-653.
16. R. Mills, M. Nansteel, and P. Ray, "Excessively Bright Hydrogen-Strontium Plasma Light Source Due to Energy Resonance of Strontium with Hydrogen", J. of Plasma Physics, Vol. 69, (2003), pp. 131-158.
52. R. Mills and M. Nansteel, P. Ray, "Bright Hydrogen-Light Source due to a Resonant Energy Transfer with Strontium and Argon Ions", New Journal of Physics, Vol. 4, (2002), pp. 70.1-70.28.
51. R. Mills, P. Ray, R. M. Mayo, "CW H I Laser Based on a Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Group I Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. 2, (2003), pp. 236-247.
47. H. Conrads, R. Mills, Th. Wrubel, "Emission in the Deep Vacuum Ultraviolet from a Plasma Formed by Incandescently Heating Hydrogen Gas with Trace Amounts of Potassium Carbonate", Plasma Sources Science and Technology, Vol. 12, (2003), pp. 389-395.

As discussed in the literature and shown herein, the Committee's assertion that the broadening observed in cells that contain atomic hydrogen and a catalyst can not be explained by turbulence, electron density effect (Stark broadening), microwave-field, or pressure broadening. In contrast, the broadening predicted by Applicant's claimed reaction of the catalysis of atomic hydrogen to lower-energy states was observed.

Plasma discharges such as RF, microwave, and high voltage glow discharges have been well characterized over decades. The plasma have been characterized by models such as coronal, Maxwellian, and Saha-Boltzmann as given in Griem<sup>118</sup>. These

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<sup>118</sup>H. R. Griem, "Spectral Line Broadening in Plasmas", Academic Press, NY, 1978.

plasmas cells are not stars. The mechanisms for broadening in these cells are discussed in many articles such as the following:

1. M. Kuraica, N. Konjevic, "Line shapes of atomic hydrogen in a plane-cathode abnormal glow discharge", *Physical Review A*, Volume 46, No. 7, October (1992), pp. 4429-4432.
2. M. Kuraica, N. Konjevic, M. Platisa and D. Pantelic, *Spectrochimica Acta* Vol. 47, 1173 (1992).
3. I. R. Videnovic, N. Konjevic, M. M. Kuraica, "Spectroscopic investigations of a cathode fall region of the Grimm-type glow discharge", *Spectrochimica Acta*, Part B, Vol. 51, (1996), pp. 1707-1731.
4. S. Alexiou, E. Leboucher-Dalimier, "Hydrogen Balmer- $\alpha$  in dense plasmas", *Phys. Rev. E*, Vol. 60, No. 3, (1999), pp. 3436-3438.
5. S. Djurovic, J. R. Roberts, "Hydrogen Balmer alpha line shapes for hydrogen-argon mixtures in a low-pressure rf discharge", *J. Appl. Phys.*, Vol. 74, No. 11, (1993), pp. 6558-6565.
6. S. B. Radovanov, K. Dzierzega, J. R. Roberts, J. K. Olthoff, "Time-resolved Balmer-alpha emission from fast hydrogen atoms in low pressure, radio-frequency discharges in hydrogen", *Appl. Phys. Lett.*, Vol. 66, No. 20, (1995), pp. 2637-2639.
7. S. B. Radovanov, J. K. Olthoff, R. J. Van Brunt, S. Djurovic, "Ion kinetic-energy distributions and Balmer-alpha ( $H_\alpha$ ) excitation in  $Ar-H_2$  radio-frequency discharges", *J. Appl. Phys.*, Vol. 78, No. 2, (1995), pp. 746-757.

In general, the experimental profile is a convolution of a Doppler profile, an instrumental profile, the natural (lifetime) profile, Stark profiles, van der Waals profiles, a resonance profile, and fine structure. The contribution from each source in resonance transfer (rt)-plasmas of the present Invention was determined to be below the limit of detection as given in the following publications:

37. R. L. Mills, P. Ray, B. Dhandapani, R. M. Mayo, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Glow Discharge and

- Microwave Hydrogen Plasmas with Certain Catalysts", J. of Applied Physics, Vol. 92, No. 12, (2002), pp. 7008-7022.
49. R. L. Mills, P. Ray, B. Dhandapani, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Inductively and Capacitively Coupled RF, Microwave, and Glow Discharge Hydrogen Plasmas with Certain Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. (2003), pp. 338-355.
  43. R. L. Mills, P. Ray, "Substantial Changes in the Characteristics of a Microwave Plasma Due to Combining Argon and Hydrogen", New Journal of Physics, www.njp.org, Vol. 4, (2002), pp. 22.1-22.17.
  54. R. L. Mills, P. Ray, "Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Catalysts", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1504-1509.
  20. R. Mills and M. Nansteel, P. Ray, "Argon-Hydrogen-Strontium Discharge Light Source", IEEE Transactions on Plasma Science, Vol. 30, No. 2, (2002), pp. 639-653.
  16. R. Mills, M. Nansteel, and P. Ray, "Excessively Bright Hydrogen-Strontium Plasma Light Source Due to Energy Resonance of Strontium with Hydrogen", J. of Plasma Physics, Vol. 69, (2003), pp. 131-158.
  52. R. Mills and M. Nansteel, P. Ray, "Bright Hydrogen-Light Source due to a Resonant Energy Transfer with Strontium and Argon Ions", New Journal of Physics, Vol. 4, (2002), pp. 70.1-70.28.
  67. R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542.
  33. R. L. Mills, P. Ray, B. Dhandapani, M. Nansteel, X. Chen, J. He, "New Power Source from Fractional Quantum Energy Levels of Atomic Hydrogen that Surpasses Internal Combustion", J Mol. Struct., Vol. 643, No. 1-3, (2002), pp. 43-54.
  51. R. Mills, P. Ray, R. M. Mayo, "CW H I Laser Based on a Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Group I Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. 2, (2003), pp. 236-247.

The flow rate in Applicant's plasma cell is typically 10 sccm. At these low pressures, the flow is laminar (very low Reynolds number). A upper-limit estimate of the

directionally-dependent Doppler broadening due to mass transport can be arrived at by assuming laminar flow at the maximum flow rate of 10 sccm. The cell pressure is about 1 Torr, and the temperature is about 1000 K; thus, the pressure and temperature corrected flow rate is about 25,000 ccm. A very conservative cross section of the plasma cell is  $1 \text{ cm}^2$ . Thus, the flow velocity is conservatively 4 m/s. This corresponds to a broadening of  $\sim 10^{-7}$  eV which is absolutely trivial—even much less than the 0.1 eV corresponding to the neutral gas temperature of 1000 K.

Broadening by high electron density is called Stark broadening. The required electron densities are about six orders of magnitude greater than the measured electron densities in these plasma.<sup>119</sup> Furthermore, only the atomic hydrogen lines ( $\alpha$ ,  $\beta$ ,  $\gamma$ , and  $\delta$ ) were found to be broadened. Stark broadening would result in broadening of **ALL** of the lines, not just the hydrogen lines. From R. L. Mills, P. Ray, E. Dayalan, B. Dhandapani, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Inductively and Capacitively Coupled RF, Microwave, and Glow Discharge Hydrogen Plasmas with Certain Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. (2003), pp. 338-355:

From Eq. (5), to get a Stark broadening of only 0.1 nm with  $T_e = 9000 \text{ K}$ , an electron density of about  $n_e \sim 3 \times 10^{15} \text{ cm}^{-3}$  is required, compared to that of the argon-hydrogen plasma of  $< 10^9 \text{ cm}^{-3}$  determined using a compensated Langmuir probe, over six orders of magnitude less. Regional maxima in electron densities that could give rise to Stark broadening was eliminated as a possibility. The measured electron densities did not exceed  $10^9 \text{ cm}^{-3}$ , and the axial variation was weak, showing less than a factor of two change throughout the brightest region of the plasma. The high mass diffusivity of all of the species present made it unlikely that a large density gradient existed anywhere in the plasma at steady state. This result was also evident by the good fit to a Gaussian profile recorded on the argon-hydrogen plasma rather than a Voigt profile as shown in Figure 10. In addition, the line broadening for Balmer  $\beta$ ,  $\gamma$ , and  $\delta$  was comparable to that of Balmer  $\alpha$ ; whereas, an absence of broadening beyond the instrument width was observed for the lines of argon or helium species such as the 667.73 nm and 591.2 nm Ar I lines and 667.816 nm and 587.56 nm He I lines. Thus, the Stark broadening was also insignificant.

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<sup>119</sup> Reference Nos. 37, 43 and 49.

Broadening was observed in glow discharge, RF discharge, and filament cells (rt-plasma), as well as microwave cells. Thus, the broadening is not dependent on the particular plasma source. Only those mixed plasma which contained a catalyst and hydrogen demonstrated broadening. Balmer  $\alpha$  line broadening is reported in reference Nos. 16, 20, 30, 33-37, 39, 42-43, 49, 51-52, 54-55, 57, 63-65, 68-69, 71-74, 81-85, 88-89, 91, 92, and 93. Standard broadening mechanisms were considered and eliminated, including pressure broadening, resonance broadening, and microwave field broadening. Applicant confirmed that Doppler broadening due to thermal motion was the dominant source to the extent that other sources may be neglected when each source was considered. In general, the experimental profile is a convolution of two Doppler profiles, an instrumental profile, the natural (lifetime) profile, Stark profiles, van der Waals profiles, a resonance profile, and fine structure. The contribution from each source was determined to be below the limit of detection as shown in:

49. R. L. Mills, P. Ray, E. Dayalan, B. Dhandapani, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Inductively and Capacitively Coupled RF, Microwave, and Glow Discharge Hydrogen Plasmas with Certain Catalysts", IEEE Transactions on Plasma Science, Vol. 31, No. (2003), pp. 338-355.
43. R. L. Mills, P. Ray, "Substantial Changes in the Characteristics of a Microwave Plasma Due to Combining Argon and Hydrogen", New Journal of Physics, [www.njp.org](http://www.njp.org), Vol. 4, (2002), pp. 22.1-22.17.
37. R. L. Mills, P. Ray, B. Dhandapani, R. M. Mayo, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Glow Discharge and Microwave Hydrogen Plasmas with Certain Catalysts", J. of Applied Physics, Vol. 92, No. 12, (2002), pp. 7008-7022.

In addition, only those plasma that contained a catalyst with hydrogen demonstrated other unique features such as the formation of a chemically generated hydrogen plasma (rt-plasma), novel spectral lines corresponding to lower-energy hydrogen states, and inverted hydrogen populations as discussed in:

84. R. L. Mills, P. Ray, J. Dong, M. Nansteel, R. M. Mayo, B. Dhandapani, X. Chen, "Comparison of Balmer  $\alpha$  Line Broadening and Power Balances of

Helium-Hydrogen Plasma Sources", Plasma Sources Science and Technology, submitted.

74. R. L. Mills, P. C. Ray, R. M. Mayo, M. Nansteel, B. Dhandapani, J. Phillips, "Spectroscopic Study of Unique Line Broadening and Inversion in Low Pressure Microwave Generated Water Plasmas", Physics of Plasmas, submitted.

Additional data confirming the novel claimed reaction of atomic hydrogen that results in extraordinary H energy as measured by the broadening of the Balmer  $\alpha$  line include:

- 18.) the observation by gas chromatography that hydrogen was consumed by the helium-hydrogen plasmas which showed the novel EUV series of lines with energies of  $q \cdot 13.6 \text{ eV}$ , the novel series of spectral lines due to the reaction  $2H(1/2) \rightarrow H_2(1/2)$  with vibronic coupling at energies of  $E_{D+vib} = 17.913 \pm \left(\frac{\nu^*}{3}\right) 0.515902 \text{ eV}$ , extraordinary H Balmer line broadening corresponding to 180 - 210 eV, and excess power of 21.9 W in  $3 \text{ cm}^3$ ,<sup>120</sup>
- 29.) the observation of stationary inverted H Balmer and Lyman populations from a low pressure water-vapor microwave discharge plasma with an overpopulation sufficient for lasing at wavelengths over a wide range from micron to blue wherein molecular oxygen served as the catalyst as supported by  $O^{2+}$  emission and H Balmer line broadening of 55 eV compared to 1 eV for hydrogen alone,<sup>121</sup>
- 30.) the observation of H Balmer line broadening of 55 eV compared to 1 eV for hydrogen alone at distances up to 5 cm from the coupler,<sup>122</sup>
- 49.) the observation that glow discharge plasmas of the catalyst-hydrogen mixtures of strontium-hydrogen, helium-hydrogen, argon-hydrogen, strontium-helium-hydrogen, and strontium-argon-hydrogen showed significant Balmer  $\alpha$  line broadening corresponding to an average hydrogen atom temperature of 25 - 45 eV; whereas, plasmas of the noncatalyst-hydrogen mixtures of pure hydrogen, krypton-hydrogen, xenon-hydrogen, and magnesium-hydrogen showed no excessive broadening corresponding to an average hydrogen atom temperature of  $\approx 3 \text{ eV}$ ,<sup>123</sup>

<sup>120</sup> Reference No. 76

<sup>121</sup> Reference Nos. 59, 65-66, 68, 74, 83, 85

<sup>122</sup> Reference No. 74

<sup>123</sup> Reference Nos. 16, 20, 30, 52, 72



50.) the observation that microwave helium-hydrogen and argon-hydrogen plasmas having catalyst  $Ar^+$  or  $He^+$  showed extraordinary Balmer  $\alpha$  line broadening due to hydrogen catalysis corresponding to an average hydrogen atom temperature of 110-130 eV and 180-210 eV, respectively; whereas, plasmas of pure hydrogen, neon-hydrogen, krypton-hydrogen, and xenon-hydrogen showed no excessive broadening corresponding to an average hydrogen atom temperature of  $\approx 3$  eV,<sup>124</sup>

52.) the observation of significant Balmer  $\alpha$  line broadening of 17, 9, 11, 14, and 24 eV from rt-plasmas of incandescently heated hydrogen with  $K^+ / K^+$ ,  $Rb^+$ , cesium, strontium, and strontium with  $Ar^+$  catalysts, respectively, wherein the results could not be explained by Stark or thermal broadening or electric field acceleration of charged species since the measured field of the incandescent heater was extremely weak, 1 V/cm, corresponding to a broadening of much less than 1 eV,<sup>125</sup>

In a recent article, Applicant reports for the first time that extraordinary broadening of 200 eV is observed in the claimed rt-plasma that is time dependent. This further eliminates known ionization (electron density), turbulence, or field dependent mechanisms as discussed in:

95. R. L. Mills, P. Ray, B. Dhandapani, "Excessive Balmer  $\alpha$  Line Broadening of Water-Vapor Capacitively-Coupled RF Discharge Plasmas" IEEE Transactions on Plasma Science, submitted.

The abstract states:

From the width of the emitted 656.3 nm Balmer  $\alpha$  line, it was found that water-vapor capacitively-coupled RF discharge plasmas showed two populations. A typical slow population was observed that was independent of time, and a new phenomenon, an extraordinary fast population that increased from zero to a significant portion of the Balmer  $\alpha$  emission with time, was also observed under no-flow conditions. The peak width and energy also increased with time up to a 0.7 nm half-width corresponding to an average hydrogen atom energy of 200 eV. Stark broadening or acceleration of charged species due to high electric fields can not explain the results since the electron density was low, the RF field was constant with time, and only the atomic hydrogen lines were broadened. Rather, an energetic chemical reaction is proposed as the source of the excessive line broadening involving a resonant energy

<sup>124</sup> Reference Nos. 33-37, 43, 49, 60, 63-64, 69, 71, 73-74, 82, 84, 88, 92, 93

<sup>125</sup> Reference Nos. 39, 42, 46, 51-52, 54-55, 57, 72, 81, 89, 91

transfer between atomic hydrogen and oxygen where the rate increases with the duration of the discharge.

Pressure broadening is negligible as given in Reference No. 37. R. L. Mills, P. Ray, B. Dhandapani, R. M. Mayo, J. He, "Comparison of Excessive Balmer  $\alpha$  Line Broadening of Glow Discharge and Microwave Hydrogen Plasmas with Certain Catalysts", J. of Applied Physics, Vol. 92, No. 12, (2002), pp. 7008-7022:

As discussed above, an estimate based on emission line profiles places the total H atom density of the argon-hydrogen plasma at  $\sim 3.5 \times 10^{14} \text{ cm}^{-3}$ . Since this is overwhelmingly dominated by the ground state,  $N_H = 3.5 \times 10^{14} \text{ cm}^{-3}$  will be used. Usually, the atomic hydrogen collisional cross section in plasmas is on the order of  $10^{-18} \text{ cm}^2$ . Thus, for  $N_H = 3.5 \times 10^{14} \text{ cm}^{-3}$ , collisional or pressure broadening is negligible.

The data supports the claimed chemical reaction between atomic hydrogen and a catalyst to form lower-energy state hydrogen with the release of energy, which is the energy source of the observed extraordinary Doppler broadened hydrogen lines as discussed previously<sup>126</sup> with additional supporting data such as the observation of the spectral lines of lower-energy hydrogen.

Similarly, power is required to maintain a plasma. The formation of lower-energy hydrogen from atomic hydrogen is the power source of chemically generated plasmas of the present invention. Confirming data of rt-plasmas are reported in the following journal articles:

54. R. L. Mills, P. Ray, "Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Catalysts", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1504-1509.
20. R. Mills and M. Nansteel, P. Ray, "Argon-Hydrogen-Strontium Discharge Light Source", IEEE Transactions on Plasma Science, Vol. 30, No. 2, (2002), pp. 639-653.
16. R. Mills, M. Nansteel, and P. Ray, "Excessively Bright Hydrogen-Strontium Plasma Light Source Due to Energy Resonance of Strontium with Hydrogen", J. of Plasma Physics, Vol. 69, (2003), pp. 131-158.

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<sup>126</sup> Reference No. 95

52. R. Mills and M. Nansteel, P. Ray, "Bright Hydrogen-Light Source due to a Resonant Energy Transfer with Strontium and Argon Ions", *New Journal of Physics*, Vol. 4, (2002), pp. 70.1-70.28.
51. R. Mills, P. Ray, R. M. Mayo, "CW H I Laser Based on a Stationary Inverted Lyman Population Formed from Incandescently Heated Hydrogen Gas with Certain Group I Catalysts", *IEEE Transactions on Plasma Science*, Vol. 31, No. 2, (2003), pp. 236-247.
47. H. Conrads, R. Mills, Th. Wrubel, "Emission in the Deep Vacuum Ultraviolet from a Plasma Formed by Incandescently Heating Hydrogen Gas with Trace Amounts of Potassium Carbonate", *Plasma Sources Science and Technology*, Vol. 12, (2003), pp. 389-395.

The Committee should be aware that these discharges are not fully ionized. The ionization fraction of these plasma is very low, typically  $10^{-6}$ .<sup>127</sup> This is also consistent with the measured electron density of  $< 10^9 \text{ cm}^{-3}$ <sup>128</sup> compared to the gas density at 1 Torr and 1000 K of  $10^{15} \text{ cm}^{-3}$ . Thus, the atomic hydrogen available for the catalysis reaction is essentially the total.

As discussed in the literature and shown herein, the Committee's assertion that the broadening observed in cells that contain atomic hydrogen and a catalyst can not be explained by turbulence, electron density effect (Stark broadening), or pressure broadening. In contrast, the broadening predicted by Applicant's claimed reaction of the catalysis of atomic hydrogen to lower-energy states was observed.

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<sup>127</sup> See M. Kuraica, N. Konjevic, "Line shapes of atomic hydrogen in a plane-cathode abnormal glow discharge", *Physical Review A*, Volume 46, No. 7, October (1992), pp. 4429-4432; M. Kuraica, N. Konjevic, M. Platisa and D. Pantelic, *Spectrochimica Acta* Vol. 47, 1173 (1992); I. R. Videnovic, N. Konjevic, M. M. Kuraica, "Spectroscopic investigations of a cathode fall region of the Grimm-type glow discharge", *Spectrochimica Acta*, Part B, Vol. 51, (1996), pp. 1707-1731; S. Alexiou, E. Leboucher-Dalimier, "Hydrogen Balmer- $\alpha$  in dense plasmas", *Phys. Rev. E*, Vol. 60, No. 3, (1999), pp. 3436-3438; S. Djurovic, J. R. Roberts, "Hydrogen Balmer alpha line shapes for hydrogen-argon mixtures in a low-pressure rf discharge", *J. Appl. Phys.*, Vol. 74, No. 11, (1993), pp. 6558-6565; S. B. Radovanov, K. Dzierzega, J. R. Roberts, J. K. Olthoff, "Time-resolved Balmer-alpha emission from fast hydrogen atoms in low pressure, radio-frequency discharges in hydrogen", *Appl. Phys. Lett.*, Vol. 66, No. 20, (1995), pp. 2637-2639; S. B. Radovanov, J. K. Olthoff, R. J. Van Brunt, S. Djurovic, "Ion kinetic-energy distributions and Balmer-alpha ( $H_\alpha$ ) excitation in  $Ar - H_2$  radio-frequency discharges", *J. Appl. Phys.*, Vol. 78, No. 2, (1995), pp. 746-757, and H. R. Griem, "Spectral Line Broadening in Plasmas", Academic Press, NY, 1978.

<sup>128</sup> Reference Nos. 37, 43

On page 6 of the Office Action, the Committee argues that some of Applicant's articles allegedly "contain misidentification of spectral lines, as explained in the attached Appendix on pages 3 and 4. Lines alleged by applicant to arise from hydrino formation have been identified as coming from helium or oxygen, the latter as an impurity. To this category belong attachments 60, 61, 67, 69 and 82."

The Committee refers to the following articles of Applicant:

- 82. R. Mills, J. Sankar, A. Voigt, J. He, P. Ray, B. Dhandapani, "Synthesis and Characterization of Diamond Films from MPCVD of an Energetic Argon-Hydrogen Plasma and Methane", J. of Materials Research, submitted.
- 69. R. L. Mills, J. Sankar, A. Voigt, J. He, B. Dhandapani, "Spectroscopic Characterization of the Atomic Hydrogen Energies and Densities and Carbon Species During Helium-Hydrogen-Methane Plasma CVD Synthesis of Diamond Films", Chemistry of Materials, Vol. 15, (2003), pp. 1313-1321.
- 67. R. L. Mills, P. Ray, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma", J. Phys. D, Applied Physics, Vol. 36, (2003), pp. 1535-1542.
- 61. R. L. Mills, B. Dhandapani, J. He, "Highly Stable Amorphous Silicon Hydride", Solar Energy Materials & Solar Cells, Vol. 80, No. 1, pp. 1-20.
- 60. R. L. Mills, J. Sankar, P. Ray, A. Voigt, J. He, B. Dhandapani, "Synthesis of HDLC Films from Solid Carbon", Journal of Materials Science, in press.

Refs. [82], [69], and [60] refer to the formation HDLC and diamond films based on the bombardment of graphitic carbon by the extraordinarily fast H formed by the energetic catalysis reaction to form hydrinos. Since no hydrino assignments were made in these articles, the discussion of impurities is irrelevant. The incredulity of the impurity argument regarding Ref. [67] was given therein and in #11. The only article relevant to the discussion of impurities regarding the cited Committee's Appendix is Ref. [61]. These results were also published in more detail in Ref. [45], which is, R. L. Mills, J. He, P. Ray, B. Dhandapani, X. Chen, "Synthesis and Characterization of a Highly Stable Amorphous Silicon Hydride as the Product of a Catalytic Helium-Hydrogen Plasma Reaction", Int. J. Hydrogen Energy, Vol. 28, No. 12, (2003), pp. 1401-1424.

Hydrogen has only one proton; thus it has the smallest XPS cross section. The peak intensities are predicted to be low. However, H is the only element that does not have any

other primary peaks in the high binding energy region. These peaks are much more intense than the peaks in the low-binding energy region. Thus, H can be identified. The time of flight secondary ion mass spectroscopy (ToF-SIMS) identified the coatings as hydride by the large  $SiH^+$  peak in the positive spectrum and the dominant  $H^-$  in the negative spectrum. X-ray photoelectron spectroscopy (XPS) identified the H content of the  $SiH$  coatings as hydride ions,  $H^-(1/4)$ ,  $H^-(1/9)$ , and  $H^-(1/11)$  corresponding to peaks at 11, 43, and 55 eV, respectively.

Referring to the following section of Ref. [45]:

#### **b. XPS Characterization**

The XPS survey spectra of the noncoated cleaned commercial silicon wafer (control) and a nickel foil coated with an  $\alpha - SiH$  film and exposed to air for 20 min were obtained over the region  $E_b = 0 \text{ eV}$  to  $1200 \text{ eV}$  and are shown in Figures 18 and 19, respectively.

The survey spectra permitted the determination of all of the elements present and detected shifts in the binding energies of the  $Si\ 2p$  peak, which also identifies the presence or absence of  $SiO_2$ . The major species identified in the XPS spectrum of the control sample were silicon, oxygen, and carbon. The  $\alpha - SiH$  sample contained essentially silicon with negligible oxygen and carbon.

The XPS spectra (96-108 eV) in the region of the  $Si\ 2p$  peak of the noncoated cleaned commercial silicon wafer and a nickel foil coated with an  $\alpha - SiH$  film and exposed to air for 20 min. are shown in Figures 20 and 21, respectively. The XPS spectrum of the control silicon wafer shows a large  $SiO_2$  content at 104 eV as given by Wagner et al. [C. D. Wagner, W. M. Riggs, L. E. Davis, J. F. Moulder, G. E. Mulilenberg (Editor), *Handbook of X-ray Photoelectron Spectroscopy*, Perkin-Elmer Corp., Eden Prairie, Minnesota, (1997)]. In contrast, the  $\alpha - SiH$  sample had essentially no  $SiO_2$ . In addition, spin-orbital coupling gives rise to a split  $Si\ 2p$  peak in pure silicon, but this peak changed to a single broad peak upon reaction to form the  $\alpha - SiH$  film indicative of amorphous silicon.

The XPS spectrum (96-108 eV) in the region of the  $Si\ 2p$  peak of a nickel foil coated with an  $\alpha - SiH$  film and exposed to air for 48 hours before the XPS analysis is shown in Figure 22. Essentially no  $SiO_2$  was observed at 104 eV demonstrating that the sample was extraordinarily stable to air exposure. Perhaps trace  $SiOH$  is present in the region of

102 eV potentially due to less than 100% coverage of the surface with the  $\alpha - SiH$  film; rather, some silicon deposition may have occurred. In contrast, the XPS spectrum (96-108 eV) in the region of the  $Si\ 2p$  peak of the  $HF$  cleaned silicon wafer exposed to air for 10 min. before XPS analysis was essentially fully covered by partial oxides  $SiO_x$  such as  $SiOH$ . The mixed silicon oxide peak in the region of 101.5-104 eV shown in Figure 23 was essentially the same percentage of the  $Si\ 2p$  as that of the  $SiO_2$  peak of the uncleaned wafer shown at 104 eV in Figure 20. In addition, the  $O\ 1s$  peak of the  $\alpha - SiH$  film exposed to air for 48 hours shown in Figure 24 was negligible; whereas, that of the  $HF$  cleaned wafer exposed to air for 10 min. was intense as shown in Figure 25.

The 0-70 eV and the 0-85 eV binding energy region of high resolution XPS spectra of the commercial silicon wafer and a  $HF$  cleaned silicon wafer exposed to air for 10 min. before XPS analysis are shown in Figures 26 and 27, respectively. Only a large  $O\ 2s$  peak in the low binding energy region was observed in each case. The 0-70 eV binding energy region of a nickel foil coated with an  $\alpha - SiH$  film and exposed to air for 20 min. before XPS analysis is shown in Figure 28. By comparison of the  $\alpha - SiH$  sample to the controls, novel XPS peaks were identified at 11, 43, and 55 eV. These peaks do not correspond to any of the primary elements, silicon, carbon, or oxygen, shown in the survey scan in Figure 19, wherein the peaks of these elements are given by Wagner et al. [C. D. Wagner, W. M. Riggs, L. E. Davis, J. F. Moulder, G. E. Mulilenberg (Editor), *Handbook of X-ray Photoelectron Spectroscopy*, Perkin-Elmer Corp., Eden Prairie, Minnesota, (1997)]. Hydrogen is the only element which does not have primary element peaks; thus, it is the only candidate to produce the novel peaks and correspond to the  $H$  content of the  $SiH$  coatings. These peaks closely matched and were assigned to hydride ions,  $H^-(1/4)$ ,  $H^-(1/9)$ , and  $H^-(1/11)$ , respectively, given by Eqs (4-5). The novel hydride ions are proposed to form by the catalytic reaction of  $He^+$  with atomic hydrogen and subsequent autocatalytic reactions of  $H(1/p)$  to form highly stable silicon hydride products  $\alpha - SiH$  comprising  $SiH(1/p)$  ( $p$  is an integer greater than one in Eqs. (4-5)).

The XPS spectra of the  $Si\ 2p$  region were analyzed, and it was found that the  $Si\ 2p$  peak was shifted 0.3-0.7 eV for the  $\alpha - SiH$  films relative to that of the  $HF$  cleaned silicon wafer as shown in Figures 21 and 22 compared to Figure 20. The shift was due to the influence of the hydride ions since no other counter ion peaks were observed as shown by the survey scan, Figure 19. The stability and the intensity of the hydride ion peaks in the low binding energy region were correlated with the shift of the  $Si\ 2p$  peaks as shown by the shift of 0.3 eV in Figure 21 compared to a 0.7 eV shift in Figure 22. This provides

further evidence of a novel  $\alpha - SiH$  film with increased stability due to the novel hydride ions.

These results indicate that the plasma reaction formed a highly stable novel hydrogenated coating; whereas, the control comprised an oxide coating or an ordinary hydrogen terminated silicon surface which rapidly formed an oxide passivation layer. The hydrogen content of the  $\alpha - SiH$  coating appears to be novel hydride ions with high binding energies which account for the exceptional air stability.

The additional reported data supports the catalytic reaction and products of the invention. Specifically, microwave helium-hydrogen plasmas showed extraordinary broadening, and the corresponding extremely high hydrogen-atom temperature of 180-210 eV was observed with the presence of helium ion catalyst only with hydrogen present. Using water bath calorimetry, excess power was observed from the helium-hydrogen plasma compared to control krypton plasma. For a 8.1 W input, the thermal output power of the helium-hydrogen plasma was measured to be 30.0 W corresponding to 21.9 W of excess power in 3 cm<sup>3</sup>. The excess power density and energy balance were high, 7.3 W/cm<sup>3</sup> and  $-2.9 \times 10^4$  kJ/mole H<sub>2</sub>, respectively.

The energetic plasma reaction was used to synthesize a potentially commercially important product. Nickel substrates were coated by the reaction product of a low pressure microwave discharge plasma of SiH<sub>4</sub> (2.5%)/He (96.6%)/H<sub>2</sub> (0.9%). The ToF-SIMS identified the coatings as hydride by the large SiH<sup>+</sup> peak in the positive spectrum and the dominant H<sup>-</sup> in the negative spectrum. XPS identified the H content of the SiH coatings as hydride ions, H<sup>-</sup>(1/4), H<sup>-</sup>(1/9), and H<sup>-</sup>(1/11) corresponding to predicted peaks at 11, 43, and 55 eV, respectively (See the Hydrino Hydride Ion section of Ref. [1]). The novel hydride ions are proposed to form by the catalytic reaction of He<sup>+</sup> with atomic hydrogen and subsequent autocatalytic reactions of H(1/p) to form highly stable silicon hydride products SiH(1/p) (p is an integer greater than one in Eqs. (4-5)) of R. Mills, "Spectroscopic Identification of a Novel Catalytic Reaction of Atomic Hydrogen and the Hydride Ion Product", Int. J. Hydrogen Energy, Vol. 26, No. 10, (2001), pp. 1041-1058. The SiH coating was amorphous as indicated by the shape of the Si 2p peak and was remarkably stable to air exposure. After a 48-hour exposure to air, essentially no oxygen was observed as evidence

by the negligible  $O\ 1s$  peak at 531 eV and absence of any  $SiO_x$   $Si\ 2p$  peak in the region of 102-104 eV. The highly stable amorphous silicon hydride coating may advance the production of integrated circuits and microdevices by resisting the oxygen passivation of the surface and possibly altering the dielectric constant and band gap to increase device performance.

Water is not present in the plasma. The amorphous silicon layer is formed from a plasma containing silane which is violently explosive on exposure to water vapor. Oxygen and carbon are only present in trace. The survey spectrum and the ToF-SIMS analysis does not show any impurities that explain the peaks in the low binding energy region proposed by the Committee. The Committee proposes no specific alternative assignment. This is not good science. The Committee's credibility is further eroded given its reliance on an argument in which it has erred regarding Applicant's assignment of the He II line in Table 1 of reference [28], and the presentation of the Solar spectrum as equivalent to that of a pure helium-hydrogen (98/2%) plasma further undermines the Committee's scientific credibility.

On page 6 of the Office Action, the Committee makes yet another baseless argument, claiming that Applicant's articles are "unrelated to the scientific merits of the present invention and only either generally relate to news stories about the PTO and applicant's related applications, or are copies of court cases, a letter to Director Rogan, or other internal documents such as interview summaries. To this category belong 20 attachments which are neither numbered or listed on the PTO-1449 of 1/07/2004, but which nonetheless been submitted."

As an initial matter, Applicant clearly identified these articles by reference to Attachments A-R. These attachments were referenced in arguments presented by Applicant in the January 7, 2004 Response that relate directly to issues involving the improper examination of this application and the defective nature of the rejections issued in this case. For the Committee to completely ignore those arguments and to dismiss the attachments related thereto as "news stories" merely demonstrates the bias of the Committee and confirms previous complaints regarding its refusal to professionally examine not only the overwhelming evidence supporting Applicant's invention, but also the substantial evidence that undercuts the Committee's rejections. Applicant submits another copy these articles with a PTO-1449 listing them.

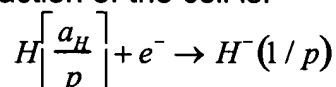


According to the Committee, on page 6 of the present Office Action, "[s]ince all the 'evidence' presented in attachments 50-100 belongs to at least one of the categories (1) to (7) above, they are all deemed to be incredible, and hence, invalid as experimental proof for the existence of the hypothetical hydrino, or any type of battery or electrochemical cell based thereon."

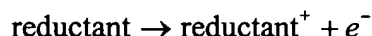
Given the existence of hydrino atoms and the corresponding increased binding energy hydride ions, batteries and electrochemical cells are enabled by the following reactions:

### Fuel Cell

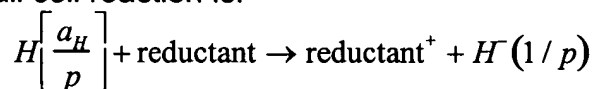
The cathode half reaction of the cell is:



The anode half reaction is:



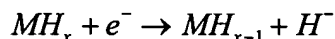
The overall cell reaction is:



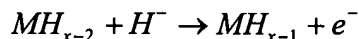
### High Voltage Battery

Hydride ions having extraordinary binding energies may stabilize a cation  $M^{x+}$  in an extraordinarily high oxidation state such as +2 in the case of lithium. Thus, these hydride ions may be used as the basis of a high voltage battery of a rocking-chair design wherein the hydride ion moves back and forth between the cathode and anode half cells during discharge and charge cycles. Exemplary reactions for a cation  $M^{x+}$  are:

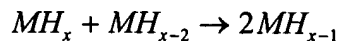
Cathode reaction:



Anode reaction:



Overall reaction:



**Reliance By Examiner Souw On His Own Published Papers  
To Reject Applicant's Claims On Theoretical Grounds Is Blatantly Unfair**

Applicant notes with dismay the citation in the Appendix to Examiner Souw's own technical papers published in the journal *Physica*. The citation of those papers against Applicant's claims on theoretical grounds is inherently unfair for several obvious reasons.

First, the Committee has failed to show that the journals in which those technical papers appear are any more "scientifically qualified" with appropriate review process than the journals that published Applicant's papers. Unless and until the PTO does so, the credibility of Examiner Souw's papers will remain an issue and should not be cited against Applicant. Because, however, the Committee continues to rely on those papers, Applicant's papers must also be considered to be scientifically qualified and to far outweigh the scant scientific evidence provided by Dr. Souw.

Second, for Examiner Souw to cite his own technical papers against Applicant makes it even more unfair, as it limits the Examiner's ability to remain impartial. How can an Examiner be expected to remain unbiased in the face of Applicant's critical arguments when it is his own technical papers that are the subject of those criticisms? The answer is obvious: he can't.

In any case, now that Examiner Souw has relied upon his own scientific research to support the Committee's rejections in this case, Applicant is entitled to know certain details of his background, including his technical education and past work experience.

The Committee attempts, but utterly fails, to rationalize why Dr. Souw should be allowed to cite without scrutiny his own technical papers against Applicant:

Applicant note[s] the involvement of Examiner Bernard Souw in the examination of another of his applications, and that Examiner Souw had previously worked for Brookhaven National Labs. Two things are thus pointed out. First, examiners are allowed, and even encouraged, to consult other examiners on matters of science. Dr. Souw is the author of the attached Appendix. While originally written for Serial No. 09/513,768, the Appendix is considered relevant to the present application for reasons stated below. Second, the employment history of examiners, including

those acting in a consulting role, is irrelevant to the examination thereof, except where there is a genuine conflict of interest. [Office Action at p. 4]

The first point—that the PTO generally encourages consultation with other Examiners—is not even in dispute and, therefore, is irrelevant. The point of Applicant's objections to the consultation of Dr. Souw in this specific case is the obvious conflict created by his citing papers he authored. It cannot be seriously argued that Dr. Souw can be unbiased in critically analyzing his own work.

The PTO's second point—that the employment history of Examiners is only relevant when there is a genuine conflict of interest—merely argues in Applicant's favor. It is precisely because Applicant has demonstrated a genuine conflict of interest with regard to Dr. Souw's citation to his own work, undertaken at a government-funded laboratory involved in competitive research sanctioned by the APS, that makes his employment history relevant to the examination of this application. Thus, Dr. Souw's employment history, including his connection to any APS activities during that employment, is highly relevant. Furthermore, as explained below, the Committee's refusal to provide this relevant information has led Applicant to conduct his own investigation into this matter. This investigation has uncovered what the Committee refers to as "genuine conflicts of interest" on the part of Examiner Souw, which Applicant feared were being withheld.

Regarding the substance of the arguments presented in the Appendix, it appears that the Committee once again prefers engaging in a theoretical debate to the exclusion of Applicant's experimental evidence, pitting its favored quantum theory, with all of its far-fetched and disproved predictions, against Applicant's theory of classical quantum mechanics that correctly predicts the formation of lower-energy hydrogen. Nevertheless, Applicant provides a complete and detailed response to each theoretical point raised in Examiner Souw's Appendix and requests that the Committee fully consider that response. [See Attachment, "Response to Souw Appendix".] Applicant further requests that the Committee: (1) properly consider all of Applicant's experimental evidence appearing in his peer-reviewed journal articles—much of it generated by independent third parties—rather than just a small, isolated portion of that evidence;

and (2) follow its own admitted standard by giving those articles "the credibility that peer-reviewed articles have."

**The Committee's Refusal To Disclose the Details of Examiner Souw's Employment History Raises Additional Serious Questions Of Whether It Is Capable Of Fairly Examining Applicant's Cases**

The Committee's appointment of Examiner Souw came at a critical juncture in the examination of Applicant's pending cases. In April 2003, Examiner Langel, one of the two original examiners assigned to these cases, had resigned from his examining duties "for moral and ethical reasons." Examiner Langel's abrupt resignation came after being instructed to misrepresent that he favored denying Applicant his patents when the record showed he wanted to allow those patents to issue, and that he had authority to grant that allowance when, in fact, he was told that "allowance is not an option."

To justify Examiner Langel's resignation after the fact, the PTO informed Applicant that his cases were being transferred and consolidated under the direction of a more experienced Examiner, even though Examiner Langel had over thirty years of PTO examining experience. A few short weeks later, Examiner Souw made his first appearance in one of Applicant's cases, U.S. App'n Ser. No. 09/513,768.<sup>129</sup>

Applicant was naturally suspicious of these events given the prior prosecution history of his cases, which, as mentioned above, prompted Applicant to raise what he believed were legitimate issues regarding Examiner Souw's bias in examining these cases. Rather than answer a legitimate inquiry into the Examiner's background after he demonstrated bias by citing his own technical papers against Applicant, the Committee became defensive, arguing that "the employment history of examiners, including those acting in a consulting role, is irrelevant to the examination thereof, except where there is a genuine conflict of interest." [Office Action at p. 4] The Committee further identified Dr. Souw as the author of the Appendix that was originally written for the '768 application. In that case, Dr. Souw responded to Applicant's criticisms this way:

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<sup>129</sup> See the Appendix attached to the Committee's May 7, 2003 Office Action issued in the '768 application.

Since the cited Examiner's papers cannot possibly have been criticized by Applicant, citing his own publication(s) does not make the Examiner's view "biased", as alleged by Applicant. In the contrary, such technical papers provide a solid evidence that the Examiner is in possession of sufficient background for evaluating Applicant's claimed invention. In this regard, the Examiner can add a further evidence of strong background in microwave plasmas generated in a resonance cavity similar to those use by Applicant, not only in theory, but also hands-on in its design, construction and routine operation, as well as in its spectroscopy, both low and high resolutions [1]. [Souw Appendix at p. 4 attached to the March 29, 2004 Office Action filed in U.S. App'n Ser. No. 09/513,768.]

The reference [1] cited by the examiner as evidence of his "strong background in microwave plasmas" was the following article published in March 1987: Souw, Eng-Kie, Plasma density measurement in an imperfect microwave cavity, J. Appl. Phys. 61 (5), 1 March 1987.

The Committee's defensive remarks regarding the irrelevancy of Examiner Souw's employment history when contrasted with Examiner Souw's remarks regarding the relevancy of that history are astounding. But what is even more remarkable is when these remarks are considered in the context of additional information that has come to Applicant's attention concerning Dr. Souw's questionable business activities, not in 1987 when his cited article published, but much more recently, after he was hired by the PTO.

Unable to get straight answers from the Committee, Applicant undertook his own investigation, which uncovered these activities relating to Dr. Souw's employment history that were withheld from Applicant. Applicant has now learned that Dr. Souw, while employed by the PTO to examine BlackLight's applications, also does work for a consulting company that he co-founded, BMS Enterprise (BMS) in Herndon, Virginia, which he admittedly operates as its lead scientist in technical areas that are competitive with those being commercialized by BlackLight. Why the Committee and Dr. Souw did not make this new information readily available seems apparent: if correct—and Applicant has no reason to doubt that it is given that the source is another article written by Dr. Souw himself in 2003—there would appear to be multiple violations of the PTO's ethics rule. At the very least, the ability of Examiner Souw and the Committee to fairly

evaluate the merits of Applicant's invention has once again been called into serious question.

The above-mentioned article was published in *Optical Engineering* on November 2, 2003. [Souw, Bernard Eng-Kie, Coherent telescope array with self-homodyne interferometric detection for optical communications, Opt. Eng. 42(1) 3139-3157 (November 2003) (Tab S).] As the author of that article, Dr. Souw's name prominently appears on first page (p. 3139), identifying his association with BMS as follows:

Bernard Eng-Kie Souw  
BMS Enterprise  
P.O. Box 5524  
Herndon, Virginia 20172-5524  
E-mail: souw1@juno.com

Equally enlightening is the last page of the article (p. 3157), which includes a summary of Dr. Souw's technical background and work experience establishing his connection to BMS as its co-founder and lead scientist. Applicant reproduces the following relevant portions of this summary, which notably describes BMS as providing consulting services in two main technical areas, microwave plasma devices and CVD diamond synthesis and applications, which disciplines are competitive with those practiced by BlackLight:

In 1985, [Bernard Eng-Kie Souw] joined Brookhaven National Laboratory (BNL) in Long Island, New York as staff member in a Star Wars project. He was awarded a Department of Energy research grant in 1993 and became Principal Investigator in a research and development project on a novel, solar blind and fieldable alpha-beta-gamma radiation detector in collaboration with Northrop-Grumman and New Jersey Institute of Technology. **About the same time he cofounded BMS Enterprise, a multi-interdisciplinary consulting company providing services mainly in microwave plasma devices and CVD diamond synthesis and applications. He left BNL in 1997 and became a patent examiner with the US Patent and Trademark Office in Arlington, Virginia until 2000, when he joined ITT Industries in Reston, Virginia as a scientist and engineering specialist in optical communications. He left ITT in 2002 to dedicate more time as lead scientist with BMS Enterprise.** [Emphasis added.]

Applicant's novel hydrogen technology has many potential commercial applications, including the aforementioned microwave plasma devices and CVD diamond synthesis technologies. Indeed, Applicant presently has on file two applications directed to these specific art areas. [See U.S. App'n Ser. No. 10/469,913, filed March 7, 2002; and PCT/US/13412, filed May 1, 2002.] Applicant has serious concerns that these and other technologies that BMS and BlackLight have in common may have effected, and will continue to effect, the manner in which his applications are being handled in the PTO.

This situation is particularly disturbing in light of the PTO's own ethics rules that prohibit patent examiners from engaging in outside business activities that conflict with their assigned administrative duties. [See *Summary of Ethics Rules* for the U.S. Patent and Trademark Office published by the U.S. Department of Commerce, Office of the General Counsel, Ethics Division (attached as Tab S)] As the introductory paragraph to the PTO's ethical rules makes clear, the issue involved here is one of public trust:

### **PUBLIC SERVICE IS A PUBLIC TRUST**

As an employee of the U.S. Patent and Trademark Office you have been placed in a position of trust and are held to a high standard of ethical conduct. This handout contains a summary of the rules set forth in conflict of interest statutes and the *Standards of Ethical Conduct for Employees of the Executive Branch*. [Ethics Rules at p. 1 (Tab S)]

To hold examiners to this high standard of ethical conduct, the rules prohibit activities that would create a financial conflict of interest:

**Financial Conflicts of Interest.** You may not, as part of your official Government duties, participate in any matter that will have a direct and predictable effect on your personal financial interest, unless an exemption applies. This rule applies to matters involving specific parties in which you have a financial interest and to broad policy matters that affect many entities, including ones in which you have an interest (such as a policy affecting an entire industry sector if you have stock holdings in one of the companies in the industry sector). [Ethics Rules at p. 2 (Tab S) (emphasis in original).]

Other PTO ethic rules govern outside employment activities:

**General Rule on Outside Activities.** You may not engage in outside employment or any other personal activity that conflicts with your Department position, including employment that requires disqualification from a significant part of your Government duties or an activity that creates an appearance of using your public office for private gain. You must disqualify yourself from participating in a matter as a Department employee which may affect the financial interests of an outside employer or in which an outside employer, or an organization in which you are an active participant, is a party or is representing a party. . . . [Ethics Rules at p. 5 (Tab S) (emphasis in original).]

These restrictions against financial conflicts of interest and outside employment activities are further amplified with specific reference to patent examiners in the following rules:

#### **Financial conflicts of Interest**

Conflicts of Interests regarding Patent Examiners If you are a patent examiner, you may not participate in the review of any patent if you have a financial interest in a company that may be affected by the issuance or denial of the patent (unless your interest is in publicly-traded stock valued at \$5,000 or less in all affected companies). . . . [Ethics Rules at p. 10 (Tab S)]

#### **Outside Employment and Activities**

Service with Non-Federal organizations If you serve as an officer or director of an outside organization, such as a professional association, you may not participate as a USPTO employee on any matter that is likely to affect the financial interests of the organization. This may preclude you from serving with organizations that are active in matters before your office. If it would benefit USPTO to have an official relationship with a private organization, you may be assigned as a liaison to the organization, in which case your service with the organization would be in an official capacity, rather than as an outside activity. However, you may not be assigned to service in an official capacity as an officer or director of a non-Federal organization (other than a standards-setting body). [Ethics Rules at p. 11-12 (Tab S) (emphasis in original).]

The applicability of these ethics rules to the present situation cannot be seriously disputed. Examiner Souw was a PTO employee at the same time he admits to being BMS's



lead scientist with an apparent ownership stake in that company, shown to be a competing interest with BlackLight. Indeed, records indicate that Examiner Souw was a PTO employee prior to the date *Optical Engineering* first received his BMS article on February 6, 2003, and throughout the time that paper was being revised and received on May 6, 2003, and ultimately published on November 2, 2003.<sup>130</sup>

The May 6, 2003 revision date is particularly significant. It was only one day later, on May 7, 2003, that the Committee first began issuing Appendices authored by Examiner Souw, starting with the '768 application, to reject BlackLight's applications. Dr. Souw's conflict of interest in working for BMS during his employ as a PTO examiner—and while drafting rejections of BlackLight's patent applications no less—should be obvious to anyone and, thus, requires no further discussion.<sup>131</sup>

All of this is particularly upsetting to Applicant, especially when viewed in the context of other questionable activities documented herein, including:

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<sup>130</sup> See, for example, U.S. Patent No. 6,506,648, issued January 14, 2003, which identifies Bernard Souw as the Assistant Examiner. Based on established PTO procedures, Examiner Souw is believed to be the PTO employee who issued the Notice of Allowance in that case, well before January 2003.

<sup>131</sup> Interestingly, Dr. Souw mentions in his article that he co-founded BMS in 1993 while working for BNL and that he left BNL in 1997 to join the PTO, apparently while still operating BMS. According to the article, Dr. Souw then left the PTO in 2000 to join ITT Industries as a scientist/engineer in the optical communications field until 2002, when he left "to dedicate more time as lead scientist with BMS Enterprise." Dr. Souw, however, notably fails to mention in the BMS article his apparent re-employment by the PTO, which failure, incidentally, does comply with at least one PTO ethics rule: "you may not use your Government title in connection with a non-Government activity." [[Ethics Rules at p. 7 (Tab S) (emphasis in original)]]

Also somewhat troubling is that Dr. Souw apparently continues to examine and issue applications in other art areas that overlap with his scientific work for BMS, including optical communications, which is the subject matter of his published article. [See, e.g., U.S. Patent No. 6,801,676, filed June 24, 2003 and issued October 5, 2004, on a "Method and apparatus for phase shifting an optical beam in an optical device with a buffer plug," (recognizing in the "Background of the Invention" section that "the need for fast and efficient optical-based technologies is increasing as Internet data traffic growth rate is overtaking voice traffic pushing the need for optical communications.")]

- (1) the withdrawal from issue of five allowed BlackLight applications under suspicious circumstances;
- (2) Examiner Souw's rejection of Applicant's claims based on a non-peer reviewed article posted on an Internet bulletin board authored by Dr. Peter Zimmerman, who has bragged about his activities at the State Department in cooperation with the Patent Office in denying Applicant his patents;
- (3) Dr. Zimmerman's improper contact of technical journals in an attempt to prevent Applicant from meeting the publication requirement imposed by the Committee before his scientific evidence would even be considered;
- (4) Dr. Zimmerman's admission that his APS colleague, Dr. Robert Park, spokesman for BlackLight's competitor APS, has a "Deep Throat" contact at the Patent Office who has provided him with information concerning BlackLight applications; and
- (5) Examiner Wayne Langel's untimely resignation from the examination of BlackLight's applications for "moral and ethical reasons" after being told to materially misrepresent the record.

In view of this sordid prosecution history, Applicant is understandably outraged by the discovery that following Examiner Langel's unfortunate resignation, the Committee appointed Dr. Souw to carry out its "allowance is not an option" policy while he represented a competing interest. Applicant has demanded several times that the PTO provide a complete accounting of the facts and circumstances surrounding the prior questionable activities summarized above. Applicant now makes a similar demand for information in connection with this latest episode involving Dr. Souw's conflicted association with BMS while assigned to examine BlackLight's pending patent applications, including but not limited to a full disclosure of the facts and circumstances surrounding Examiner Souw's:

- (1) appointment as an examiner assigned to review BlackLight's pending patent applications;

- (2) outside business activities with BMS Enterprise, and with any other business ventures in which he has a financial interest;
- (3) contact with any sources outside the PTO with regard to the subject matter disclosed in any of BlackLight's applications; and
- (4) membership activities or any other participation in any professional organizations, such as the APS.<sup>132</sup>

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<sup>132</sup> This information is deemed relevant to the following additional PTO ethics rule:

**Appearances of Bias (non-Financial Conflicts of Interest)**

Participation in Professional Organizations If you are an active member of a professional organization, such as a member of a[n] association of attorneys or patent professionals, you will be barred from participating in USPTO on matters in which that organization is a party or is representing a party. If this will interfere with your USPTO duties, you should refrain from such activities or should seek advice from the Ethics Division. . . . [PTO Ethics Rules at p. 10 (Tab S)]

As explained in detail above, and in previous Responses, Applicant has good reason to believe that the APS, and perhaps other professional organizations, have become an involved party to these proceedings.

**Conclusion**

For the foregoing reasons, Applicant respectfully submits that the subject application fully satisfies the legal requirements of 35 U.S.C. §§ 101 and 112, first paragraph, and is therefore in condition for allowance. A Notice to that affect is earnestly solicited.

Respectfully submitted,  
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### Journal and Recent Book Publications

107. R. L. Mills, "Maxwell's Equations and QED: Which is Fact and Which is Fiction," *Physica Scripta*, submitted.
106. R. L. Mills, "Exact Classical Quantum Mechanical Solution for Atomic Helium which Predicts Conjugate Parameters from a Unique Solution for the First Time," *Foundations of Science*, submitted.
105. J. Phillips, C. K. Chen, R. L. Mills, "Evidence of Catalytic Production of Hot Hydrogen in RF-Generated Hydrogen/Argon Plasmas," *IEEE Transactions on Plasma Science*, submitted.
104. R. L. Mills, Y. Lu, M. Nansteel, J. He, A. Voigt, W. Good, B. Dhandapani, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," Division of Fuel Chemistry, Session: Advances in Hydrogen Energy, 228th American Chemical Society National Meeting, August 22–26, 2004, Philadelphia, PA.
103. R. L. Mills, Dhandapani, W. Good, J. He, "New States of Hydrogen Isolated from  $K_2CO_3$  Electrolysis Gases," *Chemical Engineering Science*, submitted.
102. R. L. Mills, "Exact Classical Quantum Mechanical Solutions for One- through Twenty-Electron Atoms," *Phys. Essays*, submitted.
101. R. L. Mills, Y. Lu, M. Nansteel, J. He, A. Voigt, B. Dhandapani, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," Division of Fuel Chemistry, Session: Chemistry of Solid, Liquid, and Gaseous Fuels, 227th American Chemical Society National Meeting, March 28–April 1, 2004, Anaheim, CA.
100. R. Mills, B. Dhandapani, J. He, "Highly Stable Amorphous Silicon Hydride from a Helium Plasma Reaction," *Materials Chemistry and Physics*, submitted.
99. R. L. Mills, Y. Lu, B. Dhandapani, "Spectral Identification of  $H_2(1/2)$ ," submitted.
98. R. L. Mills, Y. Lu, J. He, M. Nansteel, P. Ray, X. Chen, A. Voigt, B. Dhandapani, "Spectral Identification of New States of Hydrogen," *New Journal of Chemistry*, submitted.
97. R. Mills, P. Ray, B. Dhandapani, "Evidence of an Energy Transfer Reaction Between Atomic Hydrogen and Argon II or Helium II as the Source of Excessively Hot H Atoms in RF Plasmas," *Contributions to Plasma Physics*, submitted.
96. J. Phillips, C. K. Chen, R. Mills, "Evidence of the Production of Hot Hydrogen Atoms in RF Plasmas by Catalytic Reactions Between Hydrogen and Oxygen Species," *Spectrochimica Acta Part B: Atomic Spectroscopy*, submitted.

95. R. L. Mills, P. Ray, B. Dhandapani, "Excessive Balmer  $\alpha$  Line Broadening of Water-Vapor Capacitively-Coupled RF Discharge Plasmas," IEEE Transactions on Plasma Science, submitted.
94. R. L. Mills, "The Nature of the Chemical Bond Revisited and an Alternative Maxwellian Approach," Physics Essays, submitted.
93. R. L. Mills, P. Ray, M. Nansteel, J. He, X. Chen, A. Voigt, B. Dhandapani, "Energetic Catalyst-Hydrogen Plasma Reaction Forms a New State of Hydrogen," Doklady Chemistry, submitted.
  92. R. L. Mills, P. Ray, M. Nansteel, J. He, X. Chen, A. Voigt, B. Dhandapani, Luca Gamberale, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," Central European Journal of Physics, submitted.
91. R. Mills, P. Ray, "New H I Laser Medium Based on Novel Energetic Plasma of Atomic Hydrogen and Certain Group I Catalysts," J. Plasma Physics, submitted.
90. R. L. Mills, P. Ray, M. Nansteel, J. He, X. Chen, A. Voigt, B. Dhandapani, "Characterization of an Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," Am. Chem. Soc. Div. Fuel Chem. Prepr., Vol. 48, No. 2, (2003).
89. R. Mills, P. C. Ray, R. M. Mayo, M. Nansteel, W. Good, P. Jansson, B. Dhandapani, J. He, "Hydrogen Plasmas Generated Using Certain Group I Catalysts Show Stationary Inverted Lyman Populations and Free-Free and Bound-Free Emission of Lower-Energy State Hydride," Fizika A, submitted.
88. R. Mills, J. Sankar, A. Voigt, J. He, P. Ray, B. Dhandapani, "Role of Atomic Hydrogen Density and Energy in Low Power CVD Synthesis of Diamond Films," Thin Solid Films, submitted.
87. R. Mills, B. Dhandapani, M. Nansteel, J. He, P. Ray, "Liquid-Nitrogen-Condensable Molecular Hydrogen Gas Isolated from a Catalytic Plasma Reaction," J. Phys. Chem. B, submitted.
86. R. L. Mills, P. Ray, J. He, B. Dhandapani, M. Nansteel, "Novel Spectral Series from Helium-Hydrogen Evenson Microwave Cavity Plasmas that Matched Fractional-Principal-Quantum-Energy-Level Atomic and Molecular Hydrogen," European Journal of Physics, submitted.
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### **Test Reports**

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### **Prior Conference Presentations**

52. R. L. Mills, Y. Lu, M. Nansteel, J. He, A. Voigt, B. Dhandapani, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," Division of Fuel Chemistry, Session: Advances in Hydrogen Energy, 228th American Chemical Society National Meeting, August 22–26, 2004, Philadelphia, PA.52. R. L. Mills, BlackLight Power—Technical Presentation, Volta Institute, June 25, 2004, Como, Italy.
51. R. L. Mills, Y. Lu, M. Nansteel, J. He, A. Voigt, B. Dhandapani, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," Division of Fuel Chemistry, Session: Chemistry of Solid, Liquid, and Gaseous Fuels, 227th American Chemical Society National Meeting, March 28-April 1, 2004, Anaheim, CA.
50. R. L. Mills, P. Ray, M. Nansteel, J. He, X. Chen, A. Voigt, B. Dhandapani, "Energetic Catalyst-Hydrogen Plasma Reaction as a Potential New Energy Source," (Division of Industrial and Engineering Chemistry Symposium), September 9, 2003, 226<sup>th</sup> American Chemical Society National Meeting, (Sept. 7–11, 2003), New York, NY.
49. B. Dhandapani, R. Mills, "Novel Liquid-Nitrogen-Condensable Molecular Hydrogen Gas" (Physical Chemistry Session) , Wednesday, June 11, 2003, 36<sup>th</sup> Middle Atlantic Regional Meeting of American Chemical Society, (June 8–11, 2003), Princeton University, Princeton, NJ.
48. P. Ray, R. Mills, "Extreme Ultraviolet Spectroscopy of Helium-Hydrogen Plasma" (Physical Chemistry Session) , Wednesday, June 11, 2003, 36<sup>th</sup> Middle Atlantic Regional Meeting of American Chemical Society, (June 8–11, 2003), Princeton University, Princeton, NJ.
47. R. Mills, "Novel Catalytic Reaction Of Hydrogen as a Potential New Energy Source" (Catalysis Session), Tuesday, June 10, 2003, 36<sup>th</sup> Middle Atlantic Regional Meeting of American Chemical Society, (June 8–11, 2003), Princeton University, Princeton, NJ.
46. J. He, R. Mills, "TOF-SIMS and XPS Studies of Highly Stable Silicon Hydride Films" (Inorganic/Solid State Session), Monday, June 9, 2003, 36<sup>th</sup> Middle Atlantic



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44. X. Chen, R. Mills, "Calorimetric Study of Heat Generation by Catalytic Reaction of Atomic Hydrogen in Resonant Transfer Plasmas" (Fuel Cells Session) , Monday, June 9, 2003, 36<sup>th</sup> Middle Atlantic Regional Meeting of American Chemical Society, (June 8–11, 2003), Princeton University, Princeton, NJ.
43. R. L. Mills, "Novel Catalytic Reaction of Hydrogen as a Potential New Energy Source," Division of Industrial and Engineering Chemistry, "Green Chemistry in the Design of Alternative Energy Strategies," symposium, Oral Presentation, 225<sup>th</sup> ACS National Meeting, (March 23-27, 2003), New Orleans, LA.
42. R. L. Mills, "Novel Catalytic Reaction of Hydrogen as a Potential New Energy Source," Monday, November 25, Room 216, Protocol Center, TA-3, Los Alamos National Laboratory.
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40. R. L. Mills, Seminar: "Novel Catalytic Reaction of Hydrogen as a Potential New Energy Source," US Environmental Protection Agency, National Risk Management Research Laboratory, Sustainable Technologies Division, Cincinnati, OH, October 24, 2002.
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